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Faculty Handbook, 1978

University of Tennessee, Knoxville

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FACULTY HANDBOOK

THE UNIVERSITY OF TENNESSEE, Knoxville
UTK EEO/Title IX/Section 504 Statement

The University of Tennessee, Knoxville does not discriminate on the basis of race, sex, color, religion, national origin, age, handicap, or veteran status in provision of educational opportunities or employment opportunities and benefits.

UTK does not discriminate on the basis of sex or handicap in the education programs and activities which it operates, pursuant to the requirements of Title IX of the Education Amendments of 1972, Pub. L. 92-318 and Section 504 of the Rehabilitation Act of 1973, Pub. L. 93-112, respectively. This policy extends to both employment by and admission to the University.

Inquiries concerning Title IX and Section 504 should be directed to the Office of the Vice Chancellor for Planning and Administration, 525 Andy Holt Tower, 974-4391. Charges of violation of the above policy should also be directed to the Office of the Vice Chancellor for Planning and Administration.
A good faculty handbook has many uses. It ought to render the University's sense of itself, the sense of expectations rightly directed to the faculty and of expectations directed by the faculty to the University and its officers. There ought to be a clear and reasonable description of the principles we employ in judgment and of the means by which we bring these principles into force. And a good handbook will serve as a guide to the many rules, services, resources, and conditions that affect the common life of the University. It is not that we want necessarily to live "by the book" or by the numbers, only that we aim to do all things decently and in good order, owning up to our manifest fallibility and still professing a desire to be corrected where possible by reason and good sense.

This edition of the Handbook reflects the work and thought of many persons—the Faculty Senate and its committees, the officers of the University at many levels, and the supporting staff whose ample services are described at so many points. The Handbook will undergo yearly revisions. The faculty is invited to continue its careful inspection of the provisions laid out here and to take part in improvement of the Handbook as this is required.

Jack E. Reese
Chancellor

Ralph Norman
Editor
This handbook has been designed for the use of the faculty; it does not contain information applicable to secretarial, clerical, maintenance, custodial, and other non-faculty staff members. A separate handbook is available for this purpose.

The Faculty Handbook is revised from time to time to reflect changes in official University policies and procedures, in facilities, and in faculty opportunities and working arrangements. When official policies affecting provisions of this handbook are changed by action of the Board of Trustees, or other duly constituted authority, such changes become effective on the date designated at the time of their adoption and supersede any provision of the Handbook to the contrary without need for further notice. However, the University does regularly give notification of changes in policies covered herein in official memoranda to departmental and college offices and (on some topics) to individual faculty members. The most recent versions of Fiscal Policies and Procedures, etc., should be available in each departmental office for inspection by faculty members.
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ORGANIZATION AND GOVERNANCE

NATURE AND PURPOSE

The University of Tennessee is a state-supported, comprehensive university with a land-grant tradition. It aims on its several campuses to provide to a wide and varied constituency programs of high quality in instruction, research, and public service.

There are five primary campuses—at Knoxville, Chattanooga, Nashville, Martin, and Memphis. In addition there are the statewide divisions represented by the Institute for Agriculture, the Institute for Public Service, and the Division of Continuing Education.

Instruction is offered in the traditional disciplines and in many new areas that go beyond tradition to encompass older disciplines in different ways. Students of all ages, from teenagers to retired persons, come to the University to learn. Sometimes the University comes to them, in off-campus locations, through correspondence, and by radio and television.

For many this learning is basic and formative; for others it represents the renewal or continuation of studies long since begun, the refurbishing and deepening of professional skill and knowledge, or simply a widening of personal enjoyments and horizons.

Research is the foundation and key to the learning that the University provides. Research is learning at the most advanced, creative, and systematic edges of knowledge, where discovery and imagination constantly recast the relation of the known and the unknown. University research makes application of existing knowledge to important practical problems, and it also achieves in pure or theoretical form a basic knowledge that may eventually have application in surprising new ways.

Public service is rendered to individuals, professions, businesses, labor, government, and other groups or institutions, in the application of the University's resources to the solution of problems and the improvement of the common life.

GOVERNANCE

All legal authority for the governance of The University of Tennessee is vested in a Board of Trustees. The Board consists of the following persons:

1. ex officio
   the Governor
   the Commissioner of Agriculture
   the Commissioner of Education

the Executive Director of the Tennessee Higher Education Commission (non-voting)
the President of the University

2. appointed
   one person representing each of the nine Congressional Districts as the State was formerly apportioned
   two persons representing Knox County
   two persons representing Shelby County
   one person representing Davidson County
   one person representing Anderson, Bedford, Coffee, Franklin, Lincoln, Moore, and Warren Counties
   one person representing Weakley County
   one person representing Hamilton County
   one student (rotating one-year appointment)

At least one member of the Board must be a woman. At least one-third of the appointed members must be members of the principal minority political party. At least one-third of the appointed members must be alumni.

The Board establishes policies governing the scope of the University's educational programs; has full authority to determine and control activities and policies of all organizations that bear or are carried under the name of the University; and controls the election, appointment, and removal of all officers, faculty, and employees of the University, and the fixing of their compensation.

The Board has delegated administrative authority to the President, who exercises this authority through delegation to, and in consultation with, a staff of Vice Presidents and Chancellors. The Board has delegated to the UTK Faculty Senate authority, subject to the approval of the Chancellor, the President, and the Board itself, to determine general educational objectives and policies at UTK and regulations related to those objectives, such as requirements for admission, retention, readmission, graduation, and honors for all degree and certificate programs (see Chapter 11).

The Board, finally, has a number of standing committees appointed by the Board upon nomination of the President: Executive; Academic Affairs; Finance and Business; Buildings and Grounds; Agriculture; Athletics; Development, Alumni Affairs, and Public Relations; Health Affairs; Student Affairs; Public Service and Continuing Education; and Faculty and Staff Affairs. Selected faculty, students, and administrative officers serve with Board members on some of these committees.
STATEWIDE ADMINISTRATION

The statewide administration, headed by the President, enunciates the general mission of the University, its practical and philosophical bases, and coordinates comprehensive, long-range plans, growth, and development of the campuses and statewide operating divisions. The statewide administration ensures that the University functions with coherence and seeks to take advantage of the size and diversity of its campuses and programs.

Other vital functions of the statewide administration are:

1. coordination of charges for tuition, fees, and auxiliary services;
2. development of facilities;
3. liaison with federal and state agencies, corporations, foundations and agencies, for sources of support;
4. representation of the University to the Legislature, the Higher Education Commission (THEC), and the Governor;
5. provision to the campuses of certain administrative and technical services more efficiently and economically furnished on a statewide basis;
6. liaison with educational boards, councils, organizations, consortia, associations, and conferences at all levels.

Many of these functions are naturally and necessarily carried on in close consultation with the Chancellors and other campus officers. Because of the President's visibility to officials of state government, the news media, and the general public, a significant number of the inquiries, requests, and complaints concerning any campus or division may be directed initially to the President's office. Such matters will normally be directed to an appropriate Chancellor or Vice President for resolution, but each of these staff members must keep the President informed of significant activities, problem areas, and proposed policy changes even in those instances in which effective authority has been delegated to the campus or operating division. The Vice Presidents and the Chancellors all report directly to the President. The Vice Presidents and members of their staffs have no line authority over campus officers. The Vice Presidents have, however, functional responsibilities in areas such as academic affairs, finance, and development, which require that they and members of their staffs consult regularly with the Chancellors and other officers. Appropriate points of contact are agreed upon in advance by the Chancellor and Vice President responsible for a given function. In several areas—for example, Continuing Education, Development and Public Service—Vice Presidents or members of their staffs may request services from officers or individuals according to similar guidelines.

Alumni Organizations. The alumni organizations of all campuses are united as the University of Tennessee National Alumni Association. Each campus maintains an office of alumni affairs (see chapter XII).

Institute of Agriculture. The statewide Institute of Agriculture has especially close ties with the Knoxville campus. This unit traces its history to 1869, when The University of Tennessee was designated as the state's federal land-grant institution and was thereby charged to offer instruction in agriculture and the mechanic arts. Chief officer for the Institute is the Vice President for Agriculture, who with the other Vice Presidents reports directly to the President. This arrangement recognizes the statewide nature of the Institute's programs in research and extension. However, close ties are maintained with UTK in the area of instruction. The Deans of the College of Agriculture and the College of Veterinary Medicine report administratively to the Vice President for Agriculture and functionally to the Vice Chancellor for Academic Affairs of the University of Tennessee, Knoxville. Faculty of these Colleges hold joint appointments, and their efforts are divided between instructional duties for the College and duties in research and/or extension for the Agricultural Experiment Station and the Agricultural Extension Service. Hence, the Deans and faculty of the Colleges of Agriculture and Veterinary Medicine are members both of the faculty of the University of Tennessee, Knoxville and of the staff of the Institute of Agriculture. Decisions regarding physical facilities of the colleges are the responsibility of the Vice President for Agriculture; those regarding curriculum and academic policies are made through the normal faculty and administrative channels of the Knoxville campus. Faculty personnel policy is the responsibility of the Institute of Agriculture under the Vice President for Agriculture with the concurrence of the Vice Chancellor for Academic Affairs of The University of Tennessee, Knoxville.

Intercollegiate Athletics. All major decisions relating to men's intercollegiate athletics—approval of budgets, negotiation of coaching contracts, allocation of tickets, participation in conferences, post-season games, and tournaments—are subject to review and approval of the Executive Committee of the Athletics Board established for each campus. Each committee includes at least the President, the Chancellor, the Chairperson of the Athletics Committee of the Board of Trustees, the Executive Vice President, the campus Director of Athletics, and a faculty representative.
CAMPUS ADMINISTRATION

The Chancellor has been delegated authority to administer the campus, subject to general University policies, and to coordinate campus relations with the officers of the statewide administration. The Chancellor is authorized to recommend the appointment of appropriate administrative officers for the campus through the President to the Board of Trustees.* The Chancellor exercises primary authority in:

1. control and allocation of the budgeted appropriation and other funds;
2. establishment of the administrative organization;
3. approval of personnel appointments;
4. administration of academic programs and policies;
5. administration of student affairs and services;
6. administration of the physical plant.

As a member of the President's staff, the Chancellor also participates regularly and effectively in the University's statewide administration.

The Chancellor is expected to articulate long-term academic goals and to see that high standards are maintained in the academic program. The faculty establishes the curriculum and recommends new academic programs; however, the Chancellor exerts a major influence on the specific direction of academic change, not only through basic judgments on budget and staff, but also in the continuous evaluation of existing academic programs and in the planning of overall program direction. Such planning involves faculty and administration groups and is carried on in cooperation with the work of the Vice President for Academic Affairs, who is responsible for coordinating long-range academic planning for the entire University.

The Chancellor is also responsible for maintaining fair employment practices, promotion procedures, and wage and salary distribution, as well as good working conditions for the benefit and safety of all personnel.

While the Chancellor is primarily concerned with the campus, he/she also has great visibility and influence far beyond Knoxville. Units of UTK offer a number of academic programs in other cities, among them two graduate programs in Oak Ridge, the University of Tennessee Space Institute at Tullahoma, branches of the School of Social Work in Nashville and Memphis, the graduate center in Kingsport, and a statewide graduate engineering program.

The Executive Assistant and the Assistant to the Chancellor serve the Chancellor directly in coordinating the work of campus administration. They also provide a first level of response to inquiries from outside the University, which they direct to the appropriate academic or administrative unit. In the absence of the Chancellor, the Executive Assistant is empowered to act for the Chancellor.

There are five principal administrative units, each directed by a Vice Chancellor.

The Vice Chancellor for Academic Affairs is the chief academic officer, responsible for all academic units (other than several with an exclusively graduate mission). His/her office works closely with several committees of the Faculty Senate, and is responsible for chairing the Educational Policy Committee, the Undergraduate Council, and the Public Service Council. The Vice Chancellor is an ex officio member of the Senate Executive Committee and of the Senate Faculty Affairs Committee.

Several campus-wide ancillary units report to the Vice Chancellor for Academic Affairs: the Learning Research Center, the Division of International Education, the Computer Center, the University Libraries, Computer Assisted Registration, ROTC Air Force Aerospace Studies, and ROTC Army Military Science. All academic space allocations are made by this office.

The Vice Chancellor for Business and Finance recommends and carries out policies concerning physical, business, and financial matters including budgetary control and fiscal reports, the personnel program, maintenance of grounds and buildings, procurement, and security.

The Vice Chancellor for Graduate Studies and Research is the chief officer responsible for policy governing graduate programs at UTK. He/she supervises graduate admissions and records relating to entrance, continuation, and degree awards; and chairs the Graduate Council. The Vice Chancellor also supervises research coordination through the Dean for Research, giving approval to all requests for research and training funds from outside agencies. The Vice Chancellor is directly responsible for eight strictly graduate units (Space Institute, Oak Ridge Graduate School of Biomedical Sciences, Graduate School of Social Work, Graduate School of Planning, Graduate School of Library and Information Science, Oak Ridge Graduate Program, Kingsport Graduate Program, and Chattanooga Engineering Graduate Program).

The Vice Chancellor for Planning and Administration provides leadership in helping the campus establish goals and objectives to ensure the coherent development and best use of resources, programs, and services. The Vice Chancellor coordinates efforts to plan adequate physical facilities; oversees institutional programming and system analysis through the Office of Analytical and Data Services; serves as UTK EEO, Affirmative Action, Title IX, and Section 504 Compliance Officer; coordinates Institutional Research Services for the campus; and provides liaison with various committees and commissions having campus-wide functions.

The broad range of responsibilities given to the Vice Chancellor for Student Affairs includes Admissions and Records, Student Conduct and Orientation, Student *Important academic appointments on a particular campus—including those of Department Heads, Deans, Vice Chancellors, etc.—are reviewed by the Vice President for Academic Affairs, acting on behalf of the President, prior to final approval. Significant non-academic administrative appointments are reviewed by the appropriate Vice President: for example, the proposed appointment of a campus director of finance would be reviewed by the Vice President for Business and Finance prior to final action. Further, all appointments at the level of dean or above are discussed by the President with the appropriate committee of the Board of Trustees. Note also that the Faculty Senate (see Chapter II) is charged to give advice, consult, and participate in searches for candidates for these posts.
Programs, Career Planning and Placement, International Student Affairs, the Counseling Center, the Student Health Clinic, Residence Halls, Intercollegiate Athletics for Women, Rental Properties, University Food Services, and University Bookstores. In all these programs the Vice Chancellor's concern is with services which will enhance the welfare of students and the quality of student life.

In addition to these officers, the Chancellor's staff includes a Director of Development, Director of Public Relations, Director of Alumni Affairs, and Ombudsman.

The Director of Development coordinates and supervises efforts to raise funds from private sources. His/her main duties include the identification and cultivation of prospective donors and volunteer workers; the supervision of gift records; liaison with the University-wide Development Offices; and advice, assistance, and consultation with faculty and administrative staff on proposed fund-raising projects (See Chapter XII on Development and Fund-Raising).

The Director of Public Relations coordinates efforts to enhance public understanding of UTK and to improve communications within the campus community. Information about the University is provided to representatives of the news media through UTK News Services. Administrative officers, faculty and staff are helped in planning communications, special occasions, and public presentations. The Chancellor's NEWSletter, the UTK alumni newspaper, the campus calendar, and other publications are produced by this office.

The Director of Alumni Affairs directs policies and programs in alumni affairs and provides liaison with the University-wide Office of Alumni Affairs and Annual Giving. The Director's office produces programs for class reunions and Alumni Homecoming, serves as staff advisor to the Undergraduate Alumni Council, and assists the University-wide office in programs of alumni activities and annual giving.

Through the Annual Giving Program, alumni and friends of the University contribute financially to many academic programs on all five campuses. At UTK the National Alumni Association annually funds Scholarships, Alumni Outstanding Teacher Awards, Alumni Distinguished Service Professorships, and special library improvement grants, in addition to various programs and projects on campus.

The Ombudsman listens to student concerns about University policies and practices. He/she deals with these concerns in a number of ways—by explaining rules and regulations, by directing students to appropriate persons for resolution of problems, by directly contacting appropriate persons, by examining records, and by making recommendations to the appropriate officers.

An annual evaluation of officers reporting to the Chancellor is made each year by the Chancellor. In preparation for this evaluation, the Chancellor asks the Deans or appropriate members of the Directors' staffs for their judgment.

**COLLEGE AND DEPARTMENTAL ADMINISTRATION**

**The Academic Dean.** Academic units at UTK are varied and diverse both in their role and scope and in their mode of organization (see Organization Chart below). Each college is administered by a chief officer responsible for the successful pursuit of its programs. This person is the Dean (except in the Graduate School of Library and Information Science, The Oak Ridge Graduate School of Biomedical Sciences, and the Graduate School of Planning he/she is the Director).

The complexity and magnitude of the Dean's responsibility depends upon the size and complexity of his/her school or college. The four largest and most complex units are Business Administration, Education, Engineering, and Liberal Arts, each with a faculty of over 100 (Liberal Arts: over 700). In three colleges (Architecture, Law, Nursing) there are no separate departments. The smallest colleges and schools (Architecture, Biomedical Sciences, Communications, Planning, Library and Information Science, Nursing) have fewer faculty than do the larger departments (Curriculum and Instruction, English, Mathematics, Physics, Chemistry, History, Music, Political Science, Psychology, and Zoology).

It follows that a general description of the work of the Dean will not reflect the special duties that fall to individuals on account of special college missions, special relations with the profession for which students of the college are prepared, unique research, and various forms of public service. However, every Dean has these administrative concerns:

1. the academic program in its collegewide aspect, in the special relationships among its departments, and its relation to the larger university and public;
2. the faculty of the college and the leadership of the college (directors and department heads, college committees and task forces) their well-being, development, review, assessment, and renewal;
3. supporting services for conduct of college business (supporting staff, facilities, equipment);
4. budget preparation, review, and analysis for the college.

In smaller colleges these tasks are undertaken without much administrative staff; in the larger colleges the department heads and associate or assistant deans may serve on executive committees or advisory councils. In all cases the Dean is the person finally responsible for the health of the college. The university looks to the Dean for definitive recommendations about the curriculum; staffing, faculty promotion, tenure, and review; development needs; and all financial aspects of college operation.

Where there are departments or other budgeted academic units within the college, the Dean receives recommendations for faculty appointments, retention, promotion, tenure, salary adjustment, and development, as well as for departmental budgets and expenditures, from the department head or unit director. Such recommendations are reviewed, approved, disapproved or altered, and submitted by the Dean to the appropriate Vice Chancellor.
In some colleges the Dean seeks the advice of a faculty advisory group or an executive committee before making a recommendation.

The chain of recommendations here described does not entail a merely passive or reacting role for the Dean or for the college office. Each of the Deans is continuously engaged in planning and projecting coherent strategies for the general health of the college. This activity involves the identification of needs that have not been made explicit in departmental reports, the orchestration of joint programs and ventures, and the imagination and execution of alternative means for doing the work of the college.

The ongoing appointment of the Dean is reviewed at the discretion of the appropriate Vice Chancellor and the Chancellor, in consultation with the faculty.

An annual evaluation of Deans and Directors is rendered each year by the appropriate Vice Chancellor. In preparation for this evaluation the Vice Chancellor asks the department heads in the college for their judgment. In colleges or schools which have no departments, the Vice Chancellor asks the faculty for their judgment.

The Department Head is a member of the faculty who has been assigned the special duty of administering the department. The Head's responsibility includes:

(a) care of the departmental academic program in relation to the comprehensive academic program of the University, through
  1. recruitment and development of the faculty;  2. planning, execution, and review of curriculum;
  3. encouragement and support of faculty teaching and research;
  4. encouragement and support of faculty in public service;
  5. counsel and advice to students majoring in the discipline;
  6. representation of the department to the public, the other faculty and administration, colleagues at other universities and institutions, and the political constituency supporting the University.
(b) care of the apparatus necessary for support of the academic programs through
  1. employment and supervision of clerical and supporting personnel;
  2. management of departmental physical facilities and planning for space and equipment needs;
  3. preparation and defense of the departmental budget;
  4. authorization of all expenditures from the department budget.

In larger departments many tasks relating to these duties are delegated to other members of the department or to specific clerical or supporting personnel. In almost all departments a number of standing faculty committees are responsible for collection of data and formulation of policy recommendations concerning specific concerns. In such instances the departmental faculty ordinarily reviews recommendations made by committees.

The Head is the departmental officer specifically charged to make all recommendations concerning faculty appointments, retention, promotion, tenure, salary adjustment, and development, as well as those concerning the budget. The advice expected from the faculty in these recommendations is discussed in the next section.

Departmental proposals for the curriculum are transmitted by the Head or a departmental representative for review by divisional, college, and university committees. The Head does not have power of veto in curricular recommendations approved by the departmental faculty, although it is important for college and university committees to have full benefit of the Head's advice and judgment about such recommendations.

In many departments the Head and the faculty have agreed on informal by-laws or other working arrangements to ensure an orderly and mutually understood conduct of departmental affairs. In all cases these arrangements require the general consent or approval of the Dean, and in no case may such arrangements be taken to alter or diminish the Head's authority as the administrative officer finally responsible for the unit.

The headship, like all other administrative offices, carries no tenure. It is renewed at the discretion of the Dean, Vice Chancellor, and Chancellor, in consultation with the faculty. An annual evaluation of the Head is rendered by the Dean. In preparation for this judgment the Dean asks all members of the department for their evaluation of the Head. Similarly, the Head participates in an annual evaluation of the Dean, as preparation for the Dean's evaluation by the Vice Chancellor.

THE FACULTY VOICE IN ADMINISTRATION

The most direct responsibility of the faculty in University governance is to determine the shape of the academic programs (see above and Chapter II). A less direct but no less important role of the faculty is to advise the officers whose duties are described above about certain administrative matters that are intrinsically related to the health and credibility of the University. These matters include:

1. the appointment and retention of the faculty;
2. the promotion of faculty and the awarding of tenure;
3. the assessment of faculty performance;
4. the adjudication of disagreements, grievances, or conflicts in faculty affairs;
5. the selection of University officers;
6. the determination of University priorities.

The voice of the faculty in these areas is indispensable. Its advice cannot be lightly given or peripherally received. Everything depends upon the mutual respect and sensitivity of the faculty and the administrative officers. The principle of this relation is collegiality. The officers are colleagues who have been assigned specific administrative responsibilities. The faculty are colleagues whose advice and counsel must inform the exercise of those responsibilities. The relation of the faculty to the officers is not that of employees to employers or that of administrative inferiors.
to administrative superiors, since the faculty member is by definition not an administrative officer at all. The employer both of faculty and of officers is The University of Tennessee, or more specifically the Board of Trustees, which has delegated to each a set of specific responsibilities that can be successfully discharged only with the support and counsel of the other.

Another way to say this is that the faculty are members of a profession whose services have been obtained by the Board of Trustees through its administrative officers on behalf of the University and for the sake of the ultimate clients of the profession.

(a) and (b) The Head is expected to consult with the faculty in a full and reasonable manner before he/she:
1. undertakes a search for new faculty or authorizes such a search by a departmental committee;
2. recommends the appointment of new faculty; or
3. recommends the retention, termination, promotion, or tenure of faculty.

It is reasonable here to expect that the faculty will have ample opportunity to discuss as a group the alternative staffing needs and goals of the department, to consider alternative ways and means of meeting these needs and reaching these goals, and, if they wish, to make collective as well as individual judgments about them as advice to the Head. It is reasonable also to expect that the advice of some members of the faculty will weigh more heavily with the Head than with others. For instance, decisions about tenure (see Chapter II below) are properly the concern of the tenured faculty itself. The Head is specifically obliged in all tenure considerations:
1. to make sure that all relevant materials about candidates for tenure are available to the tenured faculty in reasonable time for careful study and deliberation;
2. to call the tenured faculty together as a group and to allow full discussion of the merits of the candidacy;
3. to receive from the tenured faculty a collective recommendation as to tenure;
4. to take note of any and all such recommendations, along with those given individually or privately, in his/her recommendation to the Dean.

(Where the Dean is the first administrative officer, the same obligations obtain.)

The Head is not obliged to follow the majority recommendations of the tenured faculty, but in the event of disagreement the Head must explain to them frankly and openly the decision he/she has reached; and the Head, further, must give them an opportunity to submit, along with his/her recommendation, a dissenting report if they so desire. In any event the tenured faculty vote must be reported and explained to the Dean.

In promotion considerations the Head is expected to seek the advice of the faculty at and above the rank to which the faculty member would be promoted. Again, faculty at such ranks should have opportunity to meet as a group, to discuss the merits fully, and to render a collective judgment if they so desire; and the Head is expected to make his/her recommendation in such a way as to take full account of that deliberation, with similar concern to make clear to the Dean the nature of the faculty opinion.

Both in promotion and in tenure, the Head may need or want to ask departmental committees to prepare appropriate evaluations before fuller faculty discussion.

The Head may also want to listen to the advice of colleagues from other departments, colleges, or universities; to the advice of students; or to junior and untenured members of the department. The importance and weight given to such advice will naturally vary. Faculty whose expertise is very close to that of the person being considered for appointment, retention, tenure, or promotion will usually be able to provide the Head with more useful advice than will those whose specialties are more remote.

(c) The Head is expected to take all reasonable steps to be fully informed about the quality of performance of each member of the department (see Chapter III). Colleagues are inevitably a major source of this information. Their judgments about the quality of a person's teaching, research, advising, institutional service, and public service are thus quite important. The Head's responsibility is to gather and weigh such information in a fair, honest, and humane way, looking to the best interests of the department and the University.

(d) The faculty is often asked by administrative officers to give help in the resolution of faculty and conflicts, grievances, and complaints at various levels (see Chapters III and IV).

(e) The Faculty Senate is specifically charged by the Board of Trustees to render certain kinds of advice to the campus and University-wide administration about the appointment of University officers (see Chapter I). In addition, the faculty of each academic unit plays an important role in the evaluation of officers assigned to it and in the search for new persons to fill such positions when they become vacant. Each year the members of each department are asked to submit a confidential evaluation of the Head. When headships become vacant, faculty members are expected to serve on search committees, to interview prospective candidates, and to submit evaluations of those candidates. This participation in the ongoing renewal of the leadership is among the most important ways in which faculty judgment informs the administration of the University.

All officers who have responsibilities touching or affecting the academic programs of the University must understand and respect the values of the academic profession and its ethos of commitment to freedom in open and objective inquiry. That is why the University seeks always to ensure appropriate faculty participation in the appointment of the officers.

(f) Faculty judgments about the academic program have significant bearing on the shape of the budget, and budgetary decisions affect the shape of the academic programs. The faculty are asked to participate in establishing major institutional priorities in several ways. In the most fundamental sense the Faculty Senate, through its Undergradu-
Administrative committees play an important role in the governance of the University. These committees, composed of students, faculty and staff, are appointed yearly by the Chancellor to assist in the development of institutional policy, procedure, and practice. Currently, the administrative committees are:

Advisory Committee on Student Financial Aid
Cultural Affairs Board
Equal Employment Opportunity Committee
Publications Committee
Recreation, Entertainment, and Social Board
Residency Classification Committee
Student Affairs Council
Student Publications Board
Traffic and Parking Authority
University Calendar Committee
University Council
University Radiation Committee

PREPARATION OF THE BUDGET

Budgeting at UTK involves seven distinct levels of discussion: department, college (or division), UTK central administration, statewide administration, the Tennessee Higher Education Commission (THERC), the Governor’s office, and the state legislature. There are two primary labors in the budgeting process: requests and allocations. The two are relatively independent tasks—allocations are not precisely correlated with the data on which requests are based.

Budget Requests. The budget request for UTK and the other public institutions of higher education in Tennessee is determined by a formula created (and constantly reviewed and updated) by the Tennessee Higher Education Commission. THEC is an organization appointed by the Governor to coordinate Tennessee’s public institutions of higher education, particularly with regard to the varying roles of each of those institutions, and to the equitable distribution of state funds for higher education.

The THEC formula is designed to provide equivalent educational activities with equivalent support; the formula does not evaluate the quality of those activities.

The formula has two parts: expenditures and revenues. It is concerned only with “unrestricted funds.” (“Restricted funds,” such as gifts and Federal research grants, are not included.) The formula generates expenditure requirements for each institution. Revenues are projected for each institution from sources other than State appropriations, such as fees, interest income, etc. These estimated revenues are subtracted from estimated expenditures, and the difference represents the request for State appropriations.

The THEC formula assigns a rate for each activity of the institution. These activities are grouped into eleven categories:

1. Instruction and Departmental Research
2. Maintenance and Operation of Physical Plant
3. General Expenses (i.e., catalogues, personnel offices, etc.)
4. Student Services
5. Libraries
6. Research
7. Organized Educational Activities
8. Extension and Public Service
9. Staff Benefits
10. Student Aid
11. Remedial Education

The many details of formula rates are involved and complex, but two examples may illustrate the procedure. Under the first formula category, “Instruction and Departmental Research,” there are thirty academic areas, each of which has been assigned up to seven formula rates (i.e., freshman-sophomore, junior-senior, master’s, professional-law, doctoral, remedial education and continuing education) for activity in that particular area. These formula rates are based on average historical costs, and are multiplied by an inflation percentage.

When the figures generated by the formula in each of the eleven categories are totalled, the result equals the estimated cost of running the fees, interest income, etc.) for each institution (which are also determined by a formula rate based on previous performance). The difference represents the request for State appropriations.

This request is sent to the Governor, who then recommends to the Legislature a budget for all higher education.

Budget Allocations. The budgeting process has a seasonal nature: in the summer and fall of the year, institutional units prepare the data for the funding formula. The central campus administration consults with the Faculty Senate Budget Committee about priorities. In winter, when the requests have gone to the Legislature for debate and discussion, the campus begins the arduous process of determining how the funds which are appropriated by the Legislature will be spent.
The manner in which funds are generated by the THEC formula does not necessarily coincide with the manner in which they are allocated, for two major reasons.

First, the THEC funding formula follows the principle of probability, which means that while the total operation of the system can be predicted with accuracy, the behavior of individual units cannot be precisely estimated. The THEC formula is useful, therefore, only for determining the total needs of UTK, and not for identifying or determining the requirements of Individual units.

Secondly, there are a number of non-formula programs at UTK, in which the benefits are shared by all units of the institution. These non-formula programs include the computing center, extension and public service programs, student aid, research bureaus, and institutes. The THEC funding formula presupposes such non-formula activities, and provides indirect support in establishing its formula rates.

Allocation has three steps, beginning at the departmental level.

Step 1: A budget for that unit (utilizing current salary levels) is constructed on the basis of previous experience, projected enrollments, and new activities. This budget is submitted by the Head to the appropriate Dean, who may either accept the budget or recommend a revision. When the departmental unit has constructed a budget acceptable to the Dean, both the departmental and the college budgets are submitted to the appropriate Vice Chancellor and to the Director of Finance. Budget and planning hearings are held for each departmental unit and attended by the Head, Dean, appropriate Vice Chancellors, and the Director of Finance, usually in advance of final completion of Step 1. A second set of hearings, this time at the college level, gives each Dean an opportunity to discuss priorities with the central administrative group.

Step 2: As the legislative budget takes shape, a determination is made of the amount of funds likely to be available for salary increases, and a recommendation for individual salary levels is made by the Head to the Dean, and then to the appropriate Vice Chancellor.

Step 3: Upon final action by the legislature and the governor, a decision is made by the central campus administration about the relative proportion of money to be allocated to salaries and to cover other expenses. A final allocation is then made based on that decision, and the resulting budget is submitted to the President and the Board of Trustees for approval.

MAJOR UNIVERSITY PUBLICATIONS*

1. The General Catalogue—the most comprehensive description of UTK programs and curricula.
2. Graduate Catalogue-describes graduate programs and curricula.
3. Personnel Policy Manual—contains all current official personnel policies and the UTK procedures for implementing these policies; includes hiring and termination procedures; leave, absence, and vacation policies; etc.
4. Fiscal Policies and Procedures Statements—contain all current official statements of University policies and procedures related to funds, including billing, accounting, and depositing procedures, etc.
5. Faculty Handbook—contains information related to faculty rights, responsibilities, tenure, termination procedures, leave and vacation policies, research policies, administrative organization, etc.
6. Hilltopics—the UTK handbook for students; includes statements of rights, responsibilities, appeals procedures, rules governing student organizations, etc.
7. Scholarship Handbook—contains comprehensive description of procedures for establishing, maintaining, and awarding both annually funded and endowed scholarships.
8. Charter and By-laws of the University—contains statement of legal establishment of the University, including charter provisions and by-laws.
10. Affirmative Action Plan—describes the comprehensive plan for ensuring equal employment opportunity and appropriate affirmative measures for all UTK employees; also contains procedures for presenting and investigating complaints of discrimination.
11. Benefits and Services—describes fringe benefits and insurance plans available to University employees.
13. The UTK Role and Scope Statement—outlines the fundamental mission of the University of Tennessee, Knoxville.
14. Traffic and Parking Regulations—describes rules, regulations, procedures, and penalties relating to parking and traffic on the University campus.

*Each department is expected to maintain its publications in a central location available to every faculty member.
RESPONSIBILITY

The responsibilities of the faculty in the governance of the University are important and varied. Some of these responsibilities, such as those described in Chapter I, are discharged primarily within departments, colleges, and schools. Others concern the general policy of the campus as a whole. The faculty role in campus-wide governance is organized and effected by the Faculty Senate, a broadly representative body which is specifically charged by the Board of Trustees (a) to formulate the University’s educational standards and degree requirements and (b) to consider, advise, and recommend to the administration policies about a wide range of concerns affecting the welfare of the campus. Among these concerns are:

1. criteria for faculty appointment, dismissal, promotion, tenure, and retirement;
2. criteria for the selection of the Chancellor, Vice Chancellors, and other campus administrative officers;
3. criteria for the selection of the President and other statewide executive officers of the University (in conjunction with other Faculty Senates or corresponding bodies of the other campuses of UT);
4. priorities for the University development plan;
5. changes in physical facilities;
6. policies regarding student life, rights, and responsibilities.

The Senate has no management or administrative functions either in itself or through its committees, since such functions are expressly reserved to the President (as delegated by the Board of Trustees) and through the President to the Chancellor. But the advice and recommendation of the Senate about all of the concerns listed above is considered carefully by all administrative officers.

The directly and expressly delegated responsibilities of the Senate for the educational programs of UTK include:

1. formulation of policies governing general educational objectives;
2. formulation of policies and regulations related to overall requirements for admission, retention, readmission, graduation and honors, and for degree programs and certification programs;
3. review of the actions of the Special Faculties (i.e., the several colleges and schools) concerning specific admission and graduation requirements of the various academic units.

Discharge of these responsibilities is subject to the approval of the Chancellor, the President, and the Board of Trustees.

ORGANIZATION

The Faculty Senate was authorized and established by the Board of Trustees on June 15, 1972. The Board stipulated that no fewer than eight and not more than twelve administrative officers of UTK (to be determined by the Senate itself) would be members of the Senate and that faculty representatives would be elected from the faculty of each college or division. The method of apportioning representatives was left to be determined by the Senate, as was the adoption of by-laws and rules of procedure.

All faculty members of the Senate must hold bona fide academic rank.

Administrative members. Ex officio members are:
1. the Chancellor
2. the Vice Chancellor for Academic Affairs
3. the Vice Chancellor for Student Affairs
4. the Vice Chancellor for Planning and Administration
5. the Vice Chancellor for Graduate Studies and Research
6. the Vice Chancellor for Business and Finance

In addition, five administrative members are chosen by the Deans and Directors of academic units for rotating three-year terms.

An elected administrative officer is ineligible for one year for reelection.

Elected Faculty Members. Elected faculty members are chosen with the following minimal criteria at the time of the election:

1. full-time appointment as assistant professor or above;
2. full-time academic duties (including at least half-time teaching, research, service, or departmental administration).

The faculty of each college or division, consisting of full-time faculty with the rank, or equivalent rank, of assistant professor or higher, elects its representatives in April of each year by secret ballot.

The term of office begins at the close of the regular Summer meeting. After completion of a full three-year term or any partial term of more than one year, an elected member may not be reelected for one year.

The colleges and schools represented by the UTK Faculty Senate are Agriculture (Resident Instruction and Experiment Station), Architecture, Biomedical Sciences, Business Administration, Communications, Education, Engineering, Home Economics, Law, Liberal Arts, ROTC, Libraries, Library and Information Science, Nursing, Planning, Social Work, Space Institute, and Veterinary Medicine.
Elective Faculty Senate seats are apportioned in February of each year among the respective colleges and schools by the Secretary on the following basis:

All part-time full-year faculty appointments at Assistant Professor or above of at least 20% are combined into full-time equivalents to be added to the full-time eligible staff in determining the basis for representation in the Senate. The following table is used for determining the number of representatives based on number of FTE:

<table>
<thead>
<tr>
<th>FTE</th>
<th>No. of Representatives</th>
</tr>
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<tbody>
<tr>
<td>1-10</td>
<td>1</td>
</tr>
<tr>
<td>11-25</td>
<td>2</td>
</tr>
<tr>
<td>each 20</td>
<td>1 added</td>
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</tbody>
</table>

One elected member also represents the Agricultural Extension Service, Institute of Agriculture. The President, President-elect, and Secretary are considered Senators-at-large if their term of membership from their college has expired and are not counted against the apportionment assigned to particular colleges or schools for the year of office.

The Faculty Senate has the power to make and repeal its by-laws by a vote of two-thirds majority of those members present at any meeting, provided that proposed changes have been submitted to Senate members at least thirty (30) days in advance.

MEETINGS
The Senate meets on the second and sixth Mondays of each quarter except Summer Quarter when it meets the fourth Monday. It may also meet at the call of the President of the Faculty Senate or, in his/her absence, the President-elect of the Faculty Senate or on petition signed by one-fourth of the elected members of the Faculty Senate.

OFFICERS
The President-Elect and Secretary of the Faculty Senate are elected for one-year terms from among the elected faculty members in the Spring Quarter. Terms of office begin at the conclusion of the regular Summer meeting. The President-Elect becomes President the year following his or her term. The President-Elect must be an elected faculty member of the Senate at the time of election.

The President. The President presides at all meetings and is bound by the by-laws and Roberts’ Rules of Order. He/she represents the faculty on the University Council and on all occasions is the chief spokesperson of the Faculty Senate and University faculty.

The President-Elect. The President-Elect acts as President in his/her absence and becomes President if the President’s position is vacated; a Vice President is elected to complete the term of the President-Elect.

The Secretary. The Secretary provides the faculty advance notice and agenda of all Senate meetings, keeps minutes of all actions taken by the Senate and sends minutes to all faculty, Department Heads, Deans, and Directors. The secretary also serves as Secretary to the Executive Committee and the Committee on Committees.

Parliamentarian. A Parliamentarian is appointed by the President.

REPRESENTATION ON THE UNIVERSITY COUNCIL
Three faculty members of the Senate are elected annually to serve with the President, the President-Elect, and the Secretary of the Faculty Senate on the University Council.

COMMITTEES OF THE SENATE
Members of committees hold office for one year from the time of their election, unless otherwise specified. The terms begin at the conclusion of the regular Summer meeting. Membership on these committees may include persons from the faculty, staff or student body, unless Senators are specified exclusively. The Chancellor and the President of the Senate are ex officio members of all standing committees. If a vacancy occurs in the faculty membership of any committee, the Faculty Senate fills the vacancy by election at the next regular meeting. Persons thus selected serve out the unexpired portion of the term. Each standing or special committee must submit a written report to the Senate at least once during the academic year. The committees must submit minutes of meetings to the Secretary of the Senate.

1. The Committee on Committees makes nominations to the Faculty Senate to all committees except the Undergraduate and Graduate Councils and where otherwise specified. The Committee on Committees reports its committee nominations to the Senate at the regular Summer meeting and at other times as required. Nominations for positions on the Committee on Committees are made by the Executive Committee for election at the first Spring Quarter meeting.

2. The Educational Policy Committee comprises seven faculty senators selected by each adjunct Council; and one student each from the Undergraduate Council, the Student Academic Council, the Student Coordinating Council, and the Graduate Student Council.

Ex officio members are the Vice Chancellor for Academic Affairs (or designate), the Vice Chancellor for Graduate Studies and Research (or designate), the Vice Chancellor for Student Affairs (or designate), the Vice Chancellor for Planning and Administration, the Dean of Admissions and Records, six administrative members to be
elected from among the Deans and Directors of the academic units concerned with student instruction by the Deans and Directors, and a secretary appointed by the chairperson. The chairperson is the Vice Chancellor for Academic Affairs (or designate). This Committee recommends to the Senate broad educational goals and policies. The Committee functions through the Undergraduate Council, the Graduate Council, the Research Council, the Public Service Council, and such subcommittees as it may see fit to establish.

(a) **Undergraduate Council.** Membership consists of faculty representatives elected for three-year terms by each unit granting baccalaureate degrees and four students designated by the Student Academic Council. *Ex officio* members are the Vice Chancellor for Academic Affairs (or designate), the Dean of Continuing Education, the Director of Libraries, the Dean of Admissions and Records (or designate), and the Director of the Learning Research Center. Elective seats are apportioned in July of each year among the baccalaureate degree-granting units of UTK. There is a minimum of one elected member for each college or school granting up to 200 degrees in the prior academic year. Above 200 degrees or major fraction thereof, one elected member is added for each additional 200 degrees granted in the prior academic year. In the case of the College of Liberal Arts, representatives are apportioned on the basis of the Divisions of the Social Sciences, the Humanities, and the Natural Sciences. The chairperson is the Vice Chancellor for Academic Affairs (or designate). The Undergraduate Council is responsible for: recommending standards for admission, retention, and graduation; approving curricula matters in the undergraduate programs; nurturing the development of interdisciplinary programs; approval of new programs; and considering and making recommendations on other matters of educational policy pertaining to undergraduate programs. The Council reports its actions for approval to the Faculty Senate.

(b) **Graduate Council.** Membership consists of elected members chosen for three-year terms by the units of the University engaged in graduate work and two graduate students elected by the graduate students in a campus-wide election. Each college or school has one elective seat for every 200 full-time equivalent graduate students or major fraction thereof. Three to five members may be appointed at large by the Vice Chancellor for Graduate Studies and Research. *Ex officio* members are the Vice Chancellor for Graduate Studies and Research and the Dean for Graduate Studies. The chairperson is the Vice Chancellor for Graduate Studies and Research.

The Graduate Council is concerned with graduate standards for admission, retention, and graduation as well as with the curricula of graduate programs, the development of interdisciplinary programs, approval of new graduate programs, approval of individuals to teach doctoral courses and direct doctoral research, financial support of graduate students, and with other matters of educational policy pertaining to graduate programs. The Council reports its actions for approval to the Faculty Senate.

(c) **Research Council.** Membership consists of the Vice Chancellor for Graduate Studies and Research, the Dean of Research, the Public Service Director, the Director of Libraries (or designate), three members from the College of Liberal Arts (representing Humanities, Social Sciences, and Natural Sciences) and one member named by the Faculty Senate for each of the other colleges and schools. The Council reports its actions for approval to the Faculty Senate.

The Research Council recommends policy governing research grants and funding, patent policy, protection of investigators, protection of human subjects of research, protection of experimental animals, publications, development of interdisciplinary research, development of specialized research facilities for intercollegiate use, and other research matters (see Chapter VII).

(d) **Public Service Council.** Membership consists of the Public Service Director, the Dean of Continuing Education, one member each nominated by the Dean of the colleges and schools of Agriculture, Architecture, Business Administration, Communications, Education, Engineering, Home Economics, Law, Liberal Arts, Nursing, and Veterinary Medicine. There are also two members representing the graduate schools nominated by the Vice Chancellor for Graduate Studies and Research, two students elected annually, and six faculty named by the Faculty Senate. The chairperson is the Public Service Director. Elected members serve three-year terms.

The Public Service Council recommends policies governing institutional services to the public; the definition of appropriate relationships with the public; the encouragement of service activity and its funding; the development of systems of acknowledging, evaluating, and rewarding the service activities of faculty; and the assembly and dissemination of information regarding Institutional Public Service. The Council serves as an advisory body on these matters to both administrative officers and the Faculty Senate, and reports its actions for approval to the Faculty Senate.

3. **Committee on Faculty Affairs.** Membership consists of nine faculty members selected by the Faculty Senate. *Ex officio* members include the Vice Chancellor for Academic Affairs, the Vice Chancellor for Graduate Studies and Research, and the Deans of two of the colleges on a rotating basis every two years. This committee is concerned with criteria and procedures for faculty appointments, promotion, tenure, and discharge for cause. The chairperson must be a faculty member.

The committee also serves as the review committee for faculty complaints and grievances as outlined in Chapter IV.
4. **Student Affairs Committee.** Membership consists of nine faculty members selected by the Faculty Senate and three students elected by the Student Coordinating Council. The Vice Chancellor for Student Affairs is an ex officio member. The chairperson must be a faculty member. This committee is concerned with student life, rights, privileges, and responsibilities, and with student government and organizations.

5. **Executive Committee of the Faculty Senate.** Membership consists of eight members of the Senate, elected to two-year terms (four each year) and as ex officio members the Vice Chancellor for Academic Affairs, the President, President-Elect and Secretary of the Faculty Senate, the University Councilors elected by the Senate, the chairperson of the Academic Council, and the chairperson of the Student Coordinating Council. The presiding officer of the Faculty Senate is the chairperson. This committee represents the Senate in meetings with the administration and other groups, handles necessary business on an emergency and interim basis between Senate meetings, recommends and reviews assignments to other committees, and establishes ad hoc committees as need arises. The committee is concerned with the formulation and review of educational policies of the University represented by the budgetary allocations. This committee is not concerned with individual salaries nor with collegiate or departmental allocations, except as they may relate to the aforementioned educational policy. Also, the chairperson submits an annual report on the economic and educational state of the University for the past year at the first Fall meeting of the Senate.

When campus or university-wide administrative appointments are to be filled and where it is appropriate for faculty to be of assistance in the recruitment and screening of candidates, the Executive Committee helps in the selection of faculty members for screening committees and lends counsel on search procedures.

6. **Development and Alumni Relations Committee.** Membership consists of nine faculty members selected by the Faculty Senate, and as ex officio members includes the UTK Director of Alumni Affairs, the UTK Director of Development, the UTK Director of Public Relations, the President of the University of Tennessee Alumni Association, a representative selected by the Student Coordinating Council, and the Executive Assistant to the Chancellor. The responsibilities of this committee include advice and consultation on alumni programs, alumni relations, and development.

7. **Athletics Committee.** Membership consists of nine faculty members selected by the Faculty Senate and, as ex officio members, the Vice Chancellor for Academic Affairs (or designate); the Director of Athletics; the Director of Women’s Athletics; the Director of the School of Health, Physical Education, and Recreation (or designate); and two students elected by the Student Coordinating Council. This committee, is concerned with academic aspects of intramural athletics as well as intercollegiate athletics.

8. **Library Committee.** Membership consists of one elected faculty representative selected by the Faculty Senate from each college or school, except in the case of Liberal Arts, from which there are three representatives, one from each of the major divisions of the college. One third of the membership is selected each year for three-year terms. Two students are designated by the Academic Council. Ex officio members are the Director of Libraries, the Vice Chancellor for Academic Affairs (or designate) and the Vice Chancellor for Graduate Studies and Research (or designate). This committee makes suggestions to the library for improvement and serves as a sounding board for projected policies and procedures. It aids the library administration in presenting the news and problems of the library.

9. **Nominating Committee.** Membership consists of five faculty senators selected by the Faculty Senate. None may be a member of the Committee on Committees. The committee nominates two candidates for President-Elect and for each of the faculty positions on the University Council.

10. **Budget Committee.** The committee is selected by the Faculty Senate and provides campus-wide faculty advice about the budget, encourages the use of faculty expertise in making the budget, and informs the faculty concerning the budget. The committee looks at budget priorities, THEC formulas, and system-campus fiscal relationships. The primary concern is with the broad budgetary policies of the institution. The committee is not involved in the detailed and comprehensive investigations necessary as a basis for budget decisions.

11. **Fringe Benefits Committee.** This committee makes recommendations about policies on retirement, leave, insurance programs, faculty welfare, and other fringe benefits.

**FACULTY MEETINGS**

The faculty holds an annual fall meeting called by the Chancellor. It may meet at other times upon petition of ten percent of the faculty.

The faculty has authority to review all actions of the Senate, under the limitations stipulated by the Board of Trustees.
APPOINTMENT, PROMOTION, TENURE, AND TERMINATION

APPOINTMENT PROCEDURES AND CRITERIA

Appointment

Faculty are appointed to positions at the University in the following manner:

1. A Department Head obtains authorization to begin a search for a new faculty member based on demonstrated need of the department’s academic program and availability of money for the position. The position may be new or a replacement for someone who has resigned, retired, gone on leave, or otherwise left the University. Because of budget uncertainties, the authorization of a search does not necessarily mean that an appointment will be made.

2. The University is fully committed to affirmative action recruitment at all levels. Therefore, efforts must be made by the department to ensure that qualified individuals are made aware of position vacancies.

3. A thorough search and careful selection precedes any departmental recommendation of appointment. The length and complexity of this process depends upon the nature of the appointment (temporary, part-time, junior, senior, visiting, etc.). In any event, the Head consults with the departmental faculty about the needs of the program and about the progress of searches that have been authorized.

4. Large academic units a faculty search committee is commonly asked to assist the Head in identifying suitable candidates. Whatever the technique, the principle is that the departmental faculty, as a group and individually, must have full opportunity to help determine the kind of person needed, the search procedure to be followed, the basic pool of candidates, the persons to be selected for interview, and the final choice. At each of these stages, final responsibility for the departmental recommendation rests with the Head.

5. Faculty status may be granted to a newly appointed administrative officer upon review and evaluation by appropriate faculty and recommendation of the appropriate Department Head.

6. Following a departmental decision to recommend appointment, there may be informal discussions concerning rank, salary, and other terms of employment between the Head and prospective faculty member. Such discussions serve merely to shape and influence the recommendations of the Department Head and do not constitute a binding commitment by the University.

7. Notification of appointment is made by letter from the appropriate Vice Chancellor (or for Agriculture faculty, the Vice President for Agriculture). This letter of appointment specifies (a) rank, (b) salary and related financial conditions, (c) probationary status, and (d) general duties and expectations. Any previous correspondence between the Department Head, Dean or Director, and faculty member concerning these matters is unofficial and not binding on the University.

8. The faculty member is officially notified of subsequent salary adjustments or changes in rank, title, or assignment by letter from the Head, Dean, or Director. Notification of an award of tenure is given by letter from the Chancellor (or Vice President of Agriculture). Any other oral or written representations concerning such adjustments and changes are unauthorized and not binding on the University. Normally, salary adjustments and other changes in employment status are made following approval of the University budget by the Board of Trustees at its annual meeting in June.

Joint Appointments.

Joint appointments involve participation in the teaching and research of two or more departments. The primary department to which the faculty member is attached, through which all matters of promotion, salary raise, and tenure are processed, is the “home” department. On all matters there must be appropriate consultation between the “home” department and the Department Head and faculty of the other academic unit. Where joint appointments involve equal time in two or more departments or service primarily within an interdisciplinary program, it is the shared responsibility of the heads, deans, or other administrative officers to make appropriate recommendations; and in such cases both departments are “home.” The University recognizes that as the shape of knowledge changes, new disciplinary and interdisciplinary needs may emerge which do not precisely correspond to existing administrative or departmental lines at UTK.

Transfers from one UT campus to another follow the procedures outlined above for all other appointments. Advice from the faculty, the recommendation of the Head and the approval of the Dean, Vice Chancellor and Chancellor are all necessary. All aspects of the new appointment—title, rank, term of employment, and tenure—are freshly determined as renegotiation does not jeopardize the faculty member’s participation in group insurance, retirement plans, and other standard employment benefits of the statewide University.
Intercampus academic appointments are sometimes authorized when it appears that a faculty member at one campus has expertise that qualifies him/her for participation in the work of a department on another campus, and when the department has need of his/her services. The definition and extent of such intercampus participation is determined by mutual agreement between the faculty member, the heads, directors or chairpersons of the academic units involved, and the respective deans, vice chancellors, or other campus officers. In these cases, the following guidelines are observed:

1. The appointment is normally without salary or tenure in the cooperating or second department (i.e., the unit awarding the intercampus appointment); tenure (if any) and salary continue to be linked with the base or “home” department.
2. The Head of the base department recommends the intercampus appointment to the Head of the cooperating department, following informal discussion or negotiation.
3. The appointment is made by the cooperating department with the ordinary approvals by the Dean, Vice Chancellor, and Chancellor.
4. The title of the faculty member in the cooperating department is determined by mutual agreement between the Head and the faculty member, subject to approval by the Dean, Vice Chancellor, and Chancellor.

Criteria.
Criteria for appointment to the several faculty ranks are complex. They reflect the rigorous preparation necessary for university teaching and research, the varied expectations directed to the faculty of a major university, and the diversity of missions performed by academic units. Each faculty position has its own distinctive requirements, but the University has established the following minimal criteria. Deficiencies in some respects may be balanced by unusual excellence in others.

In addition to the expectations listed for each rank below, there are general expectations that go with any faculty position. Two of the most important are advising and service to the University.

Professors are expected:
1. To hold the doctorate or other terminal degree of the discipline or to present equivalent training and experience appropriate to the particular appointment;
2. To be accomplished teachers;
3. To have achieved an established, scholarly or creative professional record;
4. To have participated significantly in the professional work of the discipline, in ways other than teaching and research;
5. Normally, to have served as an associate professor for at least five years;
6. To have shown beyond doubt that they can work well with colleagues and students.

Associate Professors are expected:
1. To hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
2. To be good teachers;
3. To have a good scholarly or creative professional record;
4. To have participated with promise in the professional work of the discipline, in ways other than teaching and research;
5. Normally to have served as an assistant professor for at least four years;
6. To have demonstrated clearly that they can work well with colleagues and students.

Assistant Professors are expected:
1. To hold the doctorate or other terminal degree of the discipline, or to present equivalent training and experience as appropriate to the particular appointment;
2. To be accomplished teachers;
3. To have a good scholarly or creative professional record;
4. To have participated with promise in the professional work of the discipline, in ways other than teaching and research;
5. Normally to have served as an assistant professor for at least four years;
6. To have demonstrated clearly that they can work well with colleagues and students.

Instructors are expected:
1. To hold the Master’s degree, or equivalent training and experience as appropriate to the particular appointment;
2. To show a clear interest in good teaching;
3. To show a clear interest in a program of scholarship or other professional work;
4. To have established an excellent scholastic record as a student;
5. To show evidence that they can work well with colleagues and students.

Concerned and effective advising is normally understood to be part of the task of teaching in all of these ranks.

The University permits the employment of persons related by blood or marriage, but they must not be able to determine the appointment, retention, salary, promotion, or other aspects of the employment of their relatives. Where a faculty or staff member is in a position of responsibility affecting a relative, he/she must waive authority and defer to the next administrative officer.

Terms and Renewals. Generally regular appointments are for one year beginning September 1 and ending August 31. Renewals are made annually by placing personnel names in the budget approved by the Board of Trustees.
KINDS OF FACULTY APPOINTMENTS

Faculty members are appointed to one of the following classifications of appointments:

1. Regular full-time academic year appointment:
   Such appointments involve full-time or part-time service for the nine-month academic year. Salary is paid in twelve monthly installments from September 1 through the following August 31, and is considered as being earned at the rate of one-third of the annual salary for each of the three regular quarters—fall, winter, spring.

2. Regular part-time academic year appointment:
   Such appointments involve full-time or part-time service for a specified period of time with total salary for such service to be paid over less than a twelve-month period. Such appointees are not eligible to participate in any staff benefit programs.

3. Regular full-time twelve-month appointment:

4. Regular part-time twelve-month appointment:
   Such appointments involve full-time or part-time service on a continuing basis for a period of not less than twelve months. Salary is paid each month and is considered as earned on a month-by-month basis. Holders of such appointments are entitled to vacation and sick leave accruals in accordance with established University policies, as described in Chapter V.

5. Temporary full-time academic appointment:

6. Temporary part-time academic appointment:
   Such appointments involve full-time or part-time service for a specified period of time with total salary for such service to be paid over less than a twelve-month period. Such appointees are not eligible to participate in any staff benefit programs.

Summer Quarter Compensation. Faculty holding regular full-time academic year appointments or regular part-time academic year appointments are paid extra compensation for summer quarter teaching, according to the following formulae:

1. Full-time teaching, one-half of summer term = $\frac{1}{2}$ annual salary;
2. Full-time teaching, both halves = $\frac{1}{4}$ annual salary;
3. Full-time teaching, full term = $\frac{1}{4}$ annual salary.

Quarter Banking. In the case of faculty holding regular full-time academic year appointments, summer quarter(s) may be substituted for other quarters in the academic year. Permission may be granted to substitute summer quarters of teaching, or to "bank" such quarters, toward extended periods of release from regular duties in other quarters. The needs of many faculty upon occasion to devote large uninterrupted amounts of time to a single research or creative project without teaching or committee work, and to spend time periodically in personal renewal and development, are fundamental to every good university. This arrangement is subject to the following conditions:

1. No pay can be authorized for service before it is performed; the summer quarters must be served before the substitute quarters. The duties performed during the summers in question must include the full range of duties performed during the regular quarters (advising, committee work, etc.).
2. The needs of the department or program will be a major consideration in evaluation of requests to make such substitutions.
3. The financial and educational resources of the department or unit must not be jeopardized in order to effect the substitution.

Graduate Student Appointments.

1. Graduate Teaching Assistant: Graduate teaching assistants are appointed to carry part (usually one-fourth to one-half) of a normal teaching load. The annual stipend is payable in either nine or twelve monthly installments. Such appointments are accompanied by a scholarship providing regular University fees for the period covered by the appointment.

2. Graduate Assistant: Graduate assistants are appointed to perform various types of duties other than independent teaching. In exceptional circumstances, they may teach under careful supervision. Such assigned duties must not prevent a graduate assistant from carrying a reasonable study load. The annual stipend is payable in either nine or twelve monthly installments. Such appointments are accompanied by a scholarship providing regular University fees for the period covered by the appointment.

3. Graduate Research Assistant: Research assistantships are generally financed through gift, grant, or contract funds. Such persons pursue a work and study program like that expected of graduate assistants. Such appointments are not accompanied by fee-provided scholarships, and recipients must pay all regular University fees.

Emeritus. The University of Tennessee, Knoxville awards Emeritus rank to faculty members who are professors at the time of retirement.
FACULTY DEVELOPMENT, PROMOTION, AND SALARY ADJUSTMENT

The University seeks to make clear to each faculty member from the start both the general expectations directed to all faculty and the specific duties that go with his/her appointment in the department or academic unit. Heads are required to schedule regular conferences with their faculty to make plans, set goals and objectives, and review performance as part of an ongoing concern for making each person an effective and responsible participant in the definition and achievement of the University’s mission. In such conferences, which are held at least once each year, accomplishments are compared with the specific goals that the faculty member and the Head have previously set. The nature of this discussion is highly individual, reflecting the personal interests and talents of the faculty member quite as much as the general definitions of standard accomplishment. This process is subtle and demanding; it must take account of all the diverse things that occupy a faculty member’s time, and it must draw upon them all for evidence—classroom, students, colleagues, laboratory, library, committee, the public. The central aim of such conferences is the improvement of performance, the enabling of shared ambitions and projects, and the enhancement of the sense of this sharing through honest, realistic assessments given, received, and discussed. At its best, such “faculty evaluation” is the clue and basis for faculty development, which has the following indispensable ingredients:

1. clear, mutually agreed upon, individual objectives;
2. appropriate, clearly understood standards, methods, and procedures for assessing the degree of achievement of objectives;
3. provision of the necessary support (resources, environment, personal and official encouragement) to do the job;
4. honest judgments by peers and administrative colleagues, reflecting reliable assessments of achievement;
5. appropriate recognition and reward for good work.

All five of these ingredients should be amply and regularly reviewed by the faculty member and the Head. The University’s efforts to provide adequate support (3) are discussed elsewhere in a variety of ways. Promotion and salary adjustment are two quite tangible ways in which the University seeks to recognize achievement and promise.

Criteria for promotion to a given rank are the same as those for original appointment to that rank. Judgments about promotion are made by the Head after careful consultation with the faculty at and above the rank to which a person is to be promoted (see Chapter I), and in light of the ongoing series of assessments and discussions carried on by the Head with the faculty member.

Salary recommendations are made by the Head after consideration of a number of factors, including career longevity, recent performance, and general salary levels of the discipline and rank. Faculty are not usually consulted directly by the Head about precise salary adjustments for any persons, though the Head should share with them his/her general principles and reasoning in defining salary recommendations. Faculty members may appeal salary determinations, using the procedures discussed in Chapter IV.

Recommendations for promotion and for salary adjustments are reviewed and approved, disapproved, or altered by each of the following officers: Dean or Director, Vice Chancellor, Chancellor, President. The Board of Trustees must give final approval. A principle to be applied is that all decisions be made known to responsible or affected persons.

Disapproval or alteration of promotions and salary adjustments at any level will be communicated through the administrative line to the Head, who must advise those who were involved in the original deliberation.

PROBATION AND TENURE

Tenure is defined as follows: Within the limitations of the Charter and By-Laws of the Board of Trustees of the University of Tennessee, academic tenure provides a faculty member with an expectation of continuing employment that will not be terminated except for (a) adequate cause, (b) extraordinary circumstances, and (c) retirement.

Tenure is granted by the Board of Trustees upon recommendation of the Department Head, Dean or Director, Vice Chancellor, Chancellor, and President, respectively. Tenure is granted only through positive action of the Board of Trustees. No person shall obtain or be granted tenure at the time of initial appointment or thereafter except upon the approval of the Department Head, Dean or Director, appropriate Vice Chancellor, Chancellor, President, and the Board of Trustees. After approval by the Board of Trustees, tenure becomes effective when confirmed in writing by the Chancellor. A system of probation and tenure is provided for all full-time faculty members.*

Tenure is awarded (1) when the University acknowledges a reasonable presumption of a person’s professional excellence and (2) when that excellence is believed likely to contribute substantially, over a considerable period of time, to the University’s mission. This presumption is rebuttable; it is not a guarantee of lifetime employment. However, the burden of rebutting the presumption of professional fitness of a tenured member of the faculty rests with the University. A tenured person may be dismissed only in accordance with the procedures outlined hereinafter.

Tenure is held at The University of Tennessee, Knoxville, within a department, school, college or other academic program. Although the granting of tenure is an administrative recommendation which must be approved by the Board of Trustees, the source of judgment for tenure recommendation must include that of faculty peers compe-

*Except full-time faculty members whose appointment is based mainly on grants and contracts, or “soft money”; and except for persons pursuing degrees at UTK. Faculty members who occasionally enter into grant or contract arrangements after receiving tenure do not thereby “lose” tenure.
tent to evaluate the professional standing of a faculty member.

Reorganizations which result in the merger or splitting of academic units do not affect the tenure or probationary status of the faculty involved. Tenured faculty members in such reorganization will have tenure in the new unit or program to which they are assigned.

There is no absolute correlation between disciplines and administrative units. The shape of learning and therefore of disciplines changes in ways that make necessary “interdisciplinary,” interdepartmental, and intercollegiate arrangements for programs of study. If there is a knowledgeable group of peers in a program of study, a faculty member may be tenured in that program even though no administrative unit corresponds precisely with the field. In such cases the chairperson or director of the program in consultation with the program faculty is responsible for the original recommendation, and he/she must relate to the faculty in the program as a Head or Dean would in ordinary circumstances.

The awarding of tenure is based not only on the individual’s professional excellence but also includes consideration of the anticipated needs of the academic program for the forseeable future. Professional excellence is reflected in good teaching, scholarship or other creative work in the discipline, participation in professional organizations, willingness to contribute to the common life of the University, effective work with colleagues and students, and public service. The relative weighting of these factors in tenure determinations will vary depending upon the mission of the particular academic unit and the characteristics of the individual.

A decision not to award tenure is thus in no sense of a judgment of incompetence. Not all competent persons meet the high standards necessary for tenure, nor are all those who meet such standards automatically fitted to serve needs of the University’s programs. The burden of proof that tenure should be awarded rests with the faculty member.

The probationary period at UTK may last from one to seven years, depending upon rank and prior experience at the time of initial appointment, as well as upon quality of performance. The maximum number of years in the probationary period is specified at the initial appointment. However, the actual number of probationary years may be shortened at the discretion of the University; it is the prerogative of the University to undertake a review of the probationary faculty member to determine whether retention is in order, before the end of the probationary years stipulated, provided that the faculty member is advised that this will happen in sufficient time to present materials relevant to the review.

Previous full-time service in faculty rank at other colleges or universities may reduce the probationary period at UTK if so specified in the letter of appointment. In such cases a faculty member may have more than seven full-time teaching years (UTK or elsewhere) before tenure is granted at UTK. For example, a person who has served five years elsewhere may be given a four-year probationary period at UTK. In no case will the probationary period at UTK exceed seven years.

The probationary faculty member is regularly advised in writing of the schedule for tenure or retention determination, so that there will be opportunity to submit materials relevant to the review of performance. Each year, in addition each person on probationary status is advised in connection with his/her yearly conference with the Head as to how much probationary time is left and as to how the quality of his/her performance is likely to be assessed by the tenured faculty and the Head.

Tenure is not automatically transferred when a faculty member transfers to UTK from another UT campus, or from UTK to another UT campus. A review by the responsible academic officers in consultation with the tenured faculty of the appropriate department, college, or school of the “receiving” campus may result in an immediate recommendation to the Board of Trustees for transfer of tenure; or a new probationary period may be established just as is done when there is previous service at a different institution (see above). Transfers of tenure between academic units on the same campus do not require Board approval, but must be approved by the responsible campus administrative officers in consultation with the tenured faculty of the receiving unit, with notification of the Board of Trustees. In any event, prior to the effective date of the transfer all conditions relating to tenure must be documented and accepted in writing by the transferring faculty member.

Should a probationary faculty member transfer from one UT campus to another, a new probationary period must be established and documented under the same guidelines that would be followed if the faculty member came from another institution. All conditions relating to the new probationary period must be documented in writing and accepted by the transferring faculty member.

When a tenured faculty member accepts a part-time or administrative position with the University, the faculty member retains tenure. When a probationary faculty member accepts a part-time or administrative position, such service is not counted a part of the probationary period.

Tenure rights are forfeited when a faculty member resigns his or her position, takes an unauthorized leave of absence, or fails to return to the campus following an authorized leave of absence. The faculty member in such cases will be notified in writing of this revocation of tenure. Such action may be appealed, using the normal procedures for appeal and grievances (see Chapter IV).

Not later than March 1 of the first academic year of service at UTK, persons who will not be reappointed for a second year will be notified in writing by the appropriate Vice Chancellor upon recommendation of the Department Head and the Dean. If an appointment of this kind is to expire during the academic year, the person must be so notified at least three months in advance. If a person is in a second year of service, the notification will be no later than December 15 of that year (or, if the appointment expires during an academic year, the notification will be at least six months in advance). If the person has served two or more years, such notice will be given twelve months before the expiration of the appointment. (Previous service at other institutions is not considered in this connection.) Procedure for appeal of a decision not to award tenure or of a decision to terminate a probationary period, is described in Chapter IV.
Procedure for Termination of Tenured Persons. The employment of tenured faculty members may be terminated (1) by resignation, retirement, or death; (2) because of extraordinary circumstances; or (3) for adequate cause.

1. Resignation, Retirement, or Death.
   (a) Resignation. Persons who resign from the University forfeit thereby all claims to tenure.
   (b) Retirement. The effective date of retirement is normally June 30 of the fiscal year in which the faculty member reaches age 65. However, persons who reach age 65 may continue full employment at the discretion of the University for one-year periods to age 70. There is an annual review of the status of each person over 75, accomplished through the normal administrative channels. The retirement of a faculty member prior to age 70 must be accomplished through a positive administrative action. Effective January 1, 1979, the retirement age for non-tenured faculty and staff will increase to 70. Effective July 1, 1982, the mandatory retirement age for tenured faculty will also increase to 70.
   (c) Death. When a faculty member’s appointment is terminated by death, certain benefits are payable to the beneficiary or estate, as described in Chapter VI, Section D.

2. Extraordinary Circumstances.
   Extraordinary circumstances may involve either (a) financial exigency or (b) major program discontinuations. In either case the termination of tenured faculty may take place only after sustained deliberation and discussion of the exigency or of the program change. Such deliberations and discussions must include the faculty of the University through appropriate committees of the Faculty Senate, of the college and of the department involved. In either event the full educational mission of the University must have been reviewed carefully. Should it become necessary to abolish tenured faculty positions because of the discontinuance of an academic program or function, or because of financial exigency, the campus administration shall attempt to place each displaced tenured faculty member in another suitable position. This does not require that such a faculty member be placed in a position for which he or she is not qualified or that a new position be created where no need exists. Priority must be given to quality and seniority of service, as defined by knowledgeable faculty representatives. (Tenured faculty given notice of termination for “extraordinary circumstances” may appeal the decision [see Chapter IV].) The place of any tenured faculty member so released shall not be filled by a replacement within three years, unless the released faculty member has first been offered reappointment to the position in writing and has declined.

3. Adequate Cause.
   “Adequate cause” is defined as one or more of the following: (a) incompetence (failure to maintain the level of professional competence and ability demonstrated by other faculty members in comparable positions within the academic unit); (b) significant neglect of duty (failure to carry out assigned University responsibilities); (c) persistent refusal to comply with University policies; (d) serious violation of the University’s standard of professional responsibility in teaching and research, or in personal relations with students, colleagues, or the community (such violation defined as behavior that would evoke condemnation from the academic community generally); (e) dishonesty in teaching or research, or falsification of information concerning qualifications for a position or promotion.

Termination for adequate cause of a tenured faculty member must take place in the following way:

1. The appropriate Vice Chancellor will be advised by the Department Head and Dean that grounds exist for withdrawing the presumption of professional excellence and for terminating employment. The Vice Chancellor will also be advised as to the history of efforts made within the department, school or college to encourage and help the faculty member improve his/her performance, as well as to the nature of the departmental faculty judgment on the matter.

2. If the Vice Chancellor concludes that serious grounds exist for a challenge to the faculty member’s tenure, the Vice Chancellor will discuss the matter with the faculty member, looking toward an amicable settlement.

3. If no such settlement seems possible, the Vice Chancellor will ask the Faculty Affairs Committee to conduct an informal inquiry, to determine whether, in its opinion, dismissal proceedings should be undertaken. Its opinion is not binding on the decision of the Vice Chancellor, but the inquiry does become part of the procedural record.

4. The Vice Chancellor receives the opinion of the Faculty Affairs Committee, evaluates the report, and recommends dismissal or retention to the Chancellor. If retention is recommended, the process is concluded.

5. If the Vice Chancellor recommends dismissal, the Chancellor considers the record to determine whether dismissal proceedings should be held. (Otherwise, the process is concluded.) The Chancellor or his/her delegate delivers to the faculty member a statement of charges, framed with reasonable particularity. At the same time, the statement of charges is delivered to the Faculty Senate Executive Committee.

6. If after ten days the faculty member has not challenged the statement of charges, he/she is dismissed, and no further appeal is heard. If the faculty member wants to challenge the statement of charges, the Chancellor asks the faculty representatives on the Faculty Senate Executive Committee to appoint a hearing tribunal within fifteen days, and will so notify
the faculty member. The tribunal must consist of members of the faculty and the administration.

7. Members of the tribunal may be challenged if they are deemed (either by the Chancellor or by the faculty member) disqualified by reason of bias or interest. Such challenges are judged by the Faculty Senate Executive Committee, whose decision on the matter will be final.

8. A hearing is then scheduled, with steps taken as follows:

(a) Service of notice of hearing with specific charges in writing will be made by the Chancellor at least 20 days prior to the hearing. The faculty member may waive a hearing or may respond to the charges in writing at any time before the hearing. If the faculty member waives a hearing, but denies the charges against her/him or asserts that the charges do not support a finding of adequate cause, the hearing tribunal will proceed without her/him to evaluate all available evidence and will rest its recommendation upon the evidence in the record.

(b) During the proceedings the faculty member may elect to be represented by legal counsel or other representatives of his or her choice. If legal representation is desired, the faculty member must notify the chairperson of the hearing tribunal at least ten days before the scheduled date of the hearing so that the University may schedule also the presence of prepared legal counsel. If notification of the desire to have counsel present is given less than ten days before the hearing, the tribunal may at the University’s request postpone the hearing until counsel can be available on both sides.

If the University intends to have legal counsel present at the hearing, it will notify the faculty member in the same way, with the same provision for postponement until legal counsel has been obtained.

(c) A verbatim record of the hearing will be taken and a typewritten copy will be made available upon request to the faculty member without charge.

(d) The burden of proof that adequate cause exists rests with the University and shall be satisfied only by clear and convincing evidence in the record considered as a whole.

(e) The hearing tribunal will grant adjournments to enable either party to investigate evidence to which a valid claim of surprise is made.

(f) The University will afford the faculty member an opportunity to obtain necessary witnesses and specific documents or other specific evidence, requested by the faculty member.

(g) The faculty member and the University will have the right to confront and cross-examine all witnesses. Where the witness cannot or will not appear, but the committee determines that the interests of justice require admission of his/her statement, the committee will identify the witness, disclose her/his statement, and provide for possible interrogatories.

(h) In the hearing of charges of incompetence, the testimony shall include that of qualified faculty mem-

bers from this or other institutions of higher education.

(i) The hearing tribunal will not be bound by strict rules of legal evidence, and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.

(j) The findings of fact and the decision will be based solely on the hearing record.

(k) The findings of fact and the decision will be notified of the decision in writing and will be given a copy of the record of the hearing.

(l) If the hearing tribunal concludes that adequate cause for dismissal has not been established by the evidence of the record, it will so report to the Chancellor. If the Chancellor rejects the report, he/she will state her/his reasons for doing so, in writing, to the hearing tribunal and to the faculty member, and provide an opportunity for response before transmitting the case to the President and the Board of Trustees. If the hearing tribunal concludes that adequate cause for dismissal has been established, but that remedy other than dismissal would be more appropriate, it will so recommend, with supporting reasons.

If dismissal or other penalty is recommended, the Chancellor will transmit the record and her/his recommendations to the President and the Board of Trustees. Review by the Board of Trustees will be based on the record of the hearing, and it will provide opportunity for argument, oral or written or both, by the principals or by their representatives at the hearing.

Until the final decision has been reached the faculty member will be suspended, or assigned to other duties in lieu of suspension, only upon approval of the Chancellor for cause shown. Before suspending a faculty member, pending an ultimate determination of her/his status through the institution’s hearing machinery, the Chancellor will consult with the Faculty Senate Executive Committee.

In any case of suspension, the Chancellor, for good cause shown, may decide that the suspension shall be without pay. Before removing pay, the Chancellor shall, subject to the approval of the Board, fix the date of termination. If the decision is against termination, the faculty member will not ultimately suffer the loss of normal pay and other compensations.

TERMINATIONS OF APPOINTMENT

1. Resignation. Since faculty appointments are made for the academic year (or, in exceptional cases, for quarters), it is expected that faculty members who wish to resign will do so effective at the end of the academic year (or, again in exceptional cases, at the end of the quarter). In all cases notification of resignation must be made early enough to allow the University to make plans for covering any assignments that may have been projected.

Pay Due on Resignation. Teaching faculty on academic-year appointments who resign before the end of the academic year are paid for the number of quarters they have
taught (including quarters banked), at one third of annual salary per quarter. For example, a person whose annual salary is $12,000, resigning at the end of Winter Quarter, would be entitled to two-thirds, or $8,000. Having been paid on a monthly basis the sum of $6,000 by the end of February, the faculty member’s final payment in March would be $2,000.

Faculty members on twelve-month appointments will receive leave pay due on resignation, including a pro rata share of annual leave.

2. Retirement. The effective date of retirement is normally June 30 of the fiscal year in which the faculty member reaches age 65. However, persons who reach age 65 may continue full employment at the discretion of the University for one-year periods to age 70. There is an annual review of the status of each person over 65, accomplished through the normal administrative channels. The retirement of a faculty member prior to age 70 must be accomplished through a positive administrative action. Effective January 1, 1979, the retirement age for non-tenured faculty and staff will increase to 70. Effective July 1, 1982, the mandatory retirement age for tenured faculty will also increase to 70.

3. Death. When a faculty member’s appointment is terminated by death, certain benefits are payable to the beneficiary or estate, as described in Chapter VI, Section D.
ACADEMIC FREEDOM
AND
FACULTY RIGHTS

ACADEMIC FREEDOM

Members of the faculty are charged to seek and to say honestly and persistently the truth that lies within their respective fields. This is the freedom of the academy, and on this precious foundation rests everything the academy has to offer.

Freedom of thought and of speech as defined for Americans in the Bill of Rights has been hard-won and severely tested. The freedom of the academy is more arduous still, and exacts its own stern and constant discipline—to wait patiently for evidence to take shape, to withhold judgment when the majority may know already the judgment it wants, or to articulate and defend a surprising or unpopular conclusion. The freedom of the academy includes not only the right of the faculty to teach, read, and write without prior restraint or censure but also the obligation to make public what labor and caution and care and the freedom to inquire have enabled them to know. It is a freedom presupposing personal integrity and professional rigor, subject to the scrutiny of evidence by knowledgeable colleagues. The freedom of the academy presupposes a clear understanding between the University and each member of the faculty about the terms of membership, the extent of duties, and the principles for evaluation of service. Under no circumstances may such an agreement abrogate a faculty member's freedom of inquiry, nor his or her basic right of a citizen and private person to pursue ends and interests consistent with the laws governing all members of society.

Every faculty member enjoys an unusual opportunity to know and to influence a number of students, both within the classroom and within the wider context of University life. This opportunity is not open to the average citizen. As a member of the University community, therefore, the faculty member is not simply a private person. He/she should claim no more authority than professional competence and the nature of the appointment can support.

Outside the University the distinction must be clear between activities undertaken on behalf of the University and those that are purely personal, for which the University is not responsible. The use of University stationery, telephones, and other resources for personal or extramural activities of any extended nature should be avoided, as should the use of the faculty member's university position or title in connection with the expression of purely personal, unofficial views. Only under such conditions can the faculty enjoy mutual confidence within its own ranks or command the respect and support of the larger society.

GENERAL APPEALS PROCEDURES

The faculty member is entitled to fair, impartial, honest resolution of problems which may arise in relation to employment. Accordingly the University subscribes to certain principles and follows certain practices which ensure that such resolutions occur judiciously and within a reasonable period of time.

Complaints or grievances should be clarified at the earliest possible time and at the administrative level closest to the locus of the complaint. Every effort should be made to resolve such matters informally, by conversation with the Department Head or Dean, before bringing them into a written form.

1. Appeal through Administrative Channels. Equitable resolution of most complaints is likely to be achieved through the usual administrative channels. Any faculty member may initiate an appeal either orally or in writing with the officer responsible for his or her administrative unit. If resolution of the problem is not achieved, the faculty member may request review at successively higher administrative levels through the Dean, appropriate Vice Chancellor, and Chancellor. [The by-laws of the University (Article V, Section 7) provide that any individual may appeal to the Board of Trustees through the President.]

2. Appeal through Faculty Affairs Committee. When a faculty member has been unable to achieve an amicable resolution with the Department Head (Director) and Dean, he or she may request a review by the Faculty Affairs Committee. (Ex officio members are excluded from participating as Committee members in reviewing complaints.) The request for a review should be submitted in writing, together with a statement of the complaint, to the chairperson of the Committee, with a copy sent to the appropriate Vice Chancellor.

The chairperson of the Faculty Affairs Committee will meet with the appropriate Vice Chancellor to determine if a complaint lies within the scope of the Committee and to establish any special arrangements that might be necessary to ensure complete review of the complaint under consideration. The Faculty Affairs Committee will not review in this way matters for which other formal procedures have been specifically outlined in this Handbook: (1) allegations of discrimination due to race, sex, religion, national origin, age, handicap, or veteran status; (2) dismissal from employment before a stipulated time of
service has been completed or without the minimal advance notice specified for termination of probationary faculty in Chapter III; (3) allegations that the non-renewal appointment of a probationary faculty member constitutes a violation of academic freedom; and (4) termination of tenured faculty. The scope of the Committee in concerns related to promotion and tenure is limited to a review of complaints that the procedures outlined in the Faculty Handbook or formally adopted by the department have not been complied with.

When it has been determined that a complaint lies within the scope of the Committee, the chairperson may: (1) negotiate an amicable resolution of the complaint; (2) deny the complaint as being without merit or one which does not require a review by the Committee; or (3) initiate a Committee review by notifying all appropriate parties of the review procedures to be followed. At the conclusion of the review, the Faculty Affairs Committee will forward to the appropriate Vice Chancellor and to the faculty member the Committee’s written findings and recommendations.

Prior to reaching a final decision, the Vice Chancellor has the option of asking the Faculty Affairs Committee to reconsider the matter and he or she may specify issues or facts which are to be considered. The written decision of the Vice Chancellor shall be forwarded to the chairperson of the Faculty Affairs Committee and the faculty member. If the Vice Chancellor does not accept all or part of the findings and recommendations of the Faculty Affairs Committee, he or she will include in the decision the reasons for not doing so.

The decision of the Vice Chancellor may be appealed by notifying the Chancellor in writing within ten days of receipt of the written notice of the Vice Chancellor’s decision.

Review Procedures of the Faculty Affairs Committee. Complaint reviews conducted by the Faculty Affairs Committee are non-judicial in nature and necessarily informal. The strict rules of procedural due process (e.g. confrontation, cross-examination, and strict rules of evidence) may not be required. However, any individual making a presentation to the Committee may obtain the assistance of an adviser or legal counsel of his or her choice. If legal representation is desired, the faculty member must notify the chairperson of the committee at least ten days before any hearing that may be scheduled, so that the University may schedule also the presence of prepared legal counsel. If this notification comes later than ten days before a hearing, postponements may be granted so that those who desire counsel may have counsel present. The University will be obliged to notify the individual in the same way.

The Committee will ensure that all appropriate parties are notified of its review and given an opportunity to present to the Committee evidence they deem appropriate. Any objection to the review procedures or composition of the reviewing Committee must be made in writing to the Committee chairperson. All objections will be reviewed by the chairperson and his or her decision will be final.

SPECIAL APPEALS PROCEDURES

Certain special procedures are provided for cases involving (1) allegations of discrimination due to race, sex, religion, national origin, age, handicap or veteran status; (2) termination or suspension of a non-tenured faculty member for adequate cause prior to the expiration of his/her term of appointment or without the minimum advance notice specified for non-reappointment of probationary faculty (see Chapter III); (3) allegation that the non-renewal of an appointment of a probationary faculty member constitutes a violation of academic freedom. (The procedure for termination of tenured faculty appears in Chapter III.)

1. Allegations of discrimination on the basis of race, sex, national origin, religion, age, handicap, or veteran status are brought and investigated in accord with procedures described in the UTK Affirmative Action Plan. Copies of the Plan are available in the department or college office and may be obtained from the Vice Chancellor for Planning and Administration.

2. If a probationary faculty member is suspended or dismissed before the stipulated term of appointment (see “Kinds of Appointment,” Chapter III) has been completed or without the minimum advance notice specified for termination of probationary faculty in Chapter III such action will be preceded by notification by the appropriate Vice Chancellor. The faculty member may appeal this decision through the Faculty Affairs Committee, as outlined above, or may elect to follow the appeal procedures outlined in the Tennessee Administrative Procedures Act (Tennessee Code Annotated SS4-507). Dismissal or suspension of this kind must be for “adequate cause” (See Chapter III), and the burden of proof is on the University. He or she must notify the Vice Chancellor of his or her desire to appeal within ten days after receipt of the University’s intention to dismiss or suspend. Details of procedures under the Administrative Procedures Act are available on request from the office of the General Counsel of the University, 806 Andy Holt Tower.

3. Allegations that the non-renewal of an appointment of a probationary faculty member constituted a violation of academic freedom are handled by appeal through administrative channels, as outlined above, except that the Chancellor is obliged to ask the Faculty Affairs Committee to re-
view the matter solely to determine whether the notice of non-renewal establishes a violation of academic freedom. (Ex officio members of the Faculty Affairs Committee will not participate in such reviews.)

The burden of proof that non-renewal constitutes a violation of academic freedom is on the faculty member. The Faculty Affairs Committee will invite the faculty member to appear and to present evidence and argument on his or her behalf. If legal representation is desired, the faculty member must notify the chairperson of the committee at least ten days before any hearing that may be scheduled, so that the University may schedule also the presence of prepared legal counsel. If this notification comes later than ten days before a hearing, postponements may be granted so that those who desire counsel may have counsel present. The University will be obliged to notify the individual in the same way. The committee should ask the Department Head, Dean and any other appropriate parties to testify and present evidence and argument. After hearing and weighing the evidence presented, as well as any other evidence at its disposal, the Committee will submit a written recommendation to the Chancellor within 21 days after the conclusion of its deliberations. A copy of the recommendation will be given at the same time to the faculty member. The Chancellor will consider the Committee's recommendation and inform the faculty member of his or her decision within 30 days. [The by-laws of the University (Article V, Section 7) provide that any individual may appeal to the Board of Trustees through the President.]
LEAVES OF ABSENCE, DEVELOPMENT GRANTS, VACATIONS, AND HOLIDAYS

LEAVES OF ABSENCE
Leaves of absence, extended periods of time spent away from campus for professional growth or personal reasons, are an important aspect of faculty development. Leaves of absence must be requested in writing by the faculty member and specifically approved by the Department Head, Dean or Director, the appropriate Vice Chancellor, and the Chancellor.

Leaves of absence are normally granted for not more than one year and are normally without University compensation. A “quarter banking” plan makes possible for persons on regular full-time academic year appointment extended periods of absence over several quarters with normal pay (see Chapter III). Such periods are not considered leaves of absence, since they represent substitution of one working period for another and do not entail any redirection of the normal duties of the faculty member.

FACULTY/STAFF DEVELOPMENT GRANTS
Each Chancellor and Vice President may recommend the awarding of grants for the educational development of full-time faculty and other professional staff members within their administrative jurisdictions. These grants may extend for periods up to 15 months and carry stipends up to one-half the grantee's monthly salary, plus tuition and other direct educational expenses. Faculty/Staff Development Grants are awarded on the basis of demonstrated institutional needs to persons who have been full-time employees of The University of Tennessee for two consecutive years. Recipients are required to return to the University and to be employed for a least two months of full-time service for each month of grant awarded; otherwise there is a financial obligation to the University, as specified in the development grant contract. Payments under these grants are subject to social security and federal income taxes. Recipients are eligible to participate in certain University fringe benefits programs as described in the development grant contract.

SICK LEAVE
The University grants sick leave to full-time faculty on regular academic year appointments as required by illness, injury, or medical treatment. The amount of such leave varies with the circumstances of the individual case. Factors considered in making the determination are: (a) length of service, (b) necessity for replacement, (c) quality of past service, and (d) potential future with the University. Sick leave credit for persons on regular full-time 12-month appointments is accumulated at the rate of one day per month of service. Faculty and professional staff on regular part-time 12-month appointments receive a prorated amount of sick leave based on the percentage of full-time employment. There is no upper limit to the number of days that may be accumulated.

Effective April 1, 1976, sick leave became cumulative for all days earned after that date, with no ceiling on sick leave accumulation. Between July 1, 1973 and March 31, 1976, a 120-day ceiling on sick leave accumulation was in effect. Any employee who had accumulated more than 120 days of sick leave as of July 1, 1973 retained that amount as his/her maximum until April 1, 1976. This maximum over 120 days may be used as sick leave, but in no case may more than 120 days of sick leave accumulated prior to March 31, 1976, for any employee, be applied as creditable service for retirement. However, all unused sick leave accumulated after March 31, 1976 will be credited toward retirement. Such sick leave transferred as creditable service will not reduce the age or length of service requirements for retirement. It will increase creditable service, and thus increase retirement income.

FUNERAL LEAVE
A person who is absent during his/her regularly scheduled work week due to the death of a spouse, child or parent may receive payment for reasonable and customary days absent, such days of payment not to exceed five (5) regularly scheduled work days. An employee who is absent during his/her regularly scheduled work week due to the death of a grandparent, grandchild, parent-in-law, brother, sister, brother-in-law, sister-in-law, daughter-in-law, or son-in-law may receive payment for reasonable and customary days absent, such days of payment not to exceed three (3) regularly scheduled work days.

MATERNITY LEAVE
Leaves for pregnancy, miscarriage, abortion, childbirth, and recovery therefrom are treated in the same manner as other temporary disabilities for insurance and leave purposes. A person returning from maternity leave is entitled to the same position or a similar position at the same level of pay from which she left.
MILITARY LEAVES FOR SHORT TOURS OF ACTIVE DUTY

Tennessee law authorizes leaves of absence for members of the reserve components of the armed forces of the United States. Any regular employee of the University who is a member of the armed forces reserve is entitled to a leave of absence without loss of time, pay, legal leave, vacation leave, or any other rights or benefits to which the employee be entitled for all periods of military service during which he or she is engaged, except that employee may be compensated for no more than fifteen working days of military leave in any one calendar year. Faculty should avoid active duty at times which conflict with normal University duties.

EXTENDED MILITARY LEAVE

Persons required to perform extended active duty in the armed forces are usually placed on military leave without pay. Persons returning from military leave enjoy the same rights and privileges to which they were entitled before they began military duty. Except in case of national emergency, faculty and staff members should not seek extended active military duty at times which conflict with normal University duties.

VACATIONS AND HOLIDAYS

The University recognizes the importance of rest and recreation and encourages faculty vacations. Faculty members must arrange the length and timing of vacation periods with the Department Head or Dean, and must provide information on how they may be contacted during periods of absence.

1. Faculty and Professional Staff Members Employed on Regular Twelve-Month Appointments. Faculty and professional staff members employed on regular full-time twelve-month appointments earn twenty-four (24) working days of annual leave per year. A maximum of forty-two (42) days of accumulated annual leave may be carried forward from one calendar year to the next. Annual leave days in excess of forty-two (42) may be credited to sick leave. Faculty and professional staff on regular part-time twelve-month appointments received a prorated amount of annual leave based on the percentage of full-time employment.

2. Faculty Employed on Academic Year Appointments. Faculty members employed on regular full-time academic year appointments are not required to be on campus during any quarter for which they have no University assignments. Such periods begin when all reports have been made following the preceding quarter’s commencement, and extend to a reasonable period prior to the beginning of the quarter following the quarter without assigned duties. A “reasonable period” here must include sufficient time to participate in scheduled faculty meetings, committee work, advising, and other activity necessary for the satisfactory resumption of the work of the department in that quarter.

3. Limited-Term Faculty. Faculty on temporary full-time academic appointments receive annual leave only if appointed for twelve months or longer.

4. Temporary Part-time Faculty. Faculty on temporary part-time academic appointments do not receive annual leave.

RECORDS

Official leave records are maintained for all regular full-time personnel and all regular part-time personnel other than faculty employed on academic year appointments. The official leave record form is Personnel Form Number 12. The Deans, Directors, and Department Heads are charged with ensuring that these records are maintained in each department. Such records must be maintained on a current basis and are subject to audit. Upon termination or at the end of each calendar year, after proper balances have been transferred to new cards for the succeeding year, the leave form (Per-12) for all staff and faculty employed on a regular twelve-month appointments must be forwarded to the office of the Chancellor, or his/her authorized representative, for review and retention.

LEAVE TRANSFER WITHIN THE UNIVERSITY

When a person is transferred from one campus or component of the University to another, a copy of the leave record form (Per-12) certified by the supervisor is attached to the personnel office copy of the personnel transfer forms. The receiving personnel office prepares a new leave record form (Per-12) showing the annual leave and sick leave balances and forwards it to the new supervisor. The certified copy of the previous leave record is retained in the personnel office as an official record.

LEAVE TRANSFER BETWEEN THE UNIVERSITY, STATE AGENCIES, AND ANY STATE COLLEGE OR UNIVERSITY IN TENNESSEE

Any full-time employee of any agency, office, or department of the State or of any State college or university, including The University of Tennessee, who leaves one of these employers for employment without a break in service shall have his/her annual and sick leave transferred upon request. Moreover, when such a former employee who has one (1) full year of State employment in good standing returns to full-time service with one of these employers within five (5) years of the effective date of his/her term-
nation, he/she shall be credited with all sick leave to which he/she was entitled at the time of termination. The former employee must have returned to full-time State service after December 31, 1971, and the last employing authority shall be responsible for certifying eligibility for this sick leave credit to the re-employing agency, college, or University. Employees who are being employed by the University from State agencies, colleges, or universities should be strongly encouraged to take their accumulated annual leave prior to being placed on the rolls of the University unless there is an immediate and urgent need for their services.

Furthermore, any full-time teacher employed by a local school board in Tennessee, who leaves the employment of that board and within two (2) years becomes an employee of the University of Tennessee, shall have his/her sick leave transferred upon request. The former employee of a local school board must have begun University employment after July 1, 1965 to be eligible for this transfer of sick leave.

FRINGE BENEFITS FOR UNIVERSITY EMPLOYEES ON LEAVE

Employees on approved leaves of absence are normally eligible to participate in University fringe benefit programs, except retirement plans, provided that they arrange to make advance payments of both the University's and employee's shares of the costs of these benefits. In the case of leaves during which the employee receives a stipend from the University, including Faculty/Staff Development Grants, the University will pay its share of hospitalization insurance premiums. Faculty members participating in TCRS and JCRS-A retirement plans (see Chapter VI) will receive retirement service credit for time spent on approved educational leave. In such cases, the faculty member must pay only the employee's share of retirement contributions based on his/her salary rate immediately prior to the start of the leave. For faculty members participating in the JCRS-A, JCRS-B, or TCRS retirement plans, on approved educational leave, the State will pay the employer's share of TIAA/CREF or TCRS contributions based on the employee's salary immediately prior to the start of the leave. Further details may be found in the current Benefits and Services Handbook for University employees.

DESIGNATED HOLIDAYS

The following holidays are normally recognized by the University. Others may be declared from time to time:

- New Year's Day
- Friday before Easter
- Independence Day
- Labor Day
- Thanksgiving
- Christmas Day
BENEFITS

The University provides a comprehensive program of benefits for faculty and staff. The University administration works closely with the Fringe Benefits Committee of the Faculty Senate to assess continuously the needs of the faculty and to provide programs which respond to these needs. The following major benefit categories are discussed below: retirement, insurance, social security, death benefits, fee waivers in course work, and other benefits and discounts. A directory is provided at the end of this section to assist faculty members in obtaining additional information.

RETIREMENT

Group Plans. Participation in a retirement plan is a condition of employment for all regular, full-time employees of the University of Tennessee. Detailed retirement provisions are explained in the Benefits and Services book. Faculty members may participate in either of the two available retirement plans described below. Contribution rates are the same under both plans.

The Tennessee Consolidated Retirement System (TCRS) is the same system which provides retirement allowances for state employees. Retirement benefits are based upon a formula which considers years of creditable university (and state) service and compensation.

The second retirement plan, available to staff-exempt and faculty members, is the Joint Contributory Retirement System (JCRS). The majority of UT faculty members participate in this plan. Contributions to this plan are made to Teachers Insurance and Annuity Association and/or College Retirement Equities Fund (TIAA-CREF). Members enrolled in this plan at UT before July 1, 1977, are considered JCRS-A members and are entitled to formula benefits of the TCRS in addition to benefits received from TIAA if the formula provides a higher payment.

All employees joining the TIAA-CREF plan after July 1, 1977, are referred to as JCRS-B members. Benefits to JCRS-B members are restricted, as shown in the comparison below, to those provided by TIAA-CREF. Employees starting after July 1, 1977 must choose between JCRS(TIAA-CREF) and TCRS at time of first enrollment in the retirement plan.

Provisions of JCRS-B (TIAA-CREF) and the Tennessee Consolidated Retirement System

<table>
<thead>
<tr>
<th>TIAA-CREF</th>
<th>TCRS</th>
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<tbody>
<tr>
<td><strong>CONTRIBUTIONS</strong></td>
<td>The member pays the same contribution to TIAA-CREF. UT pays an amount approximately the same as the member.</td>
</tr>
<tr>
<td>The member contributes 5% of salary covered by Social Security and 5½% of salary in excess of that covered by Social Security ($17,700 in 1978). UT matches the member's contributions.</td>
<td>TCRS has no portability outside of the State of Tennessee employment.</td>
</tr>
<tr>
<td><strong>PORTABILITY</strong></td>
<td></td>
</tr>
<tr>
<td>Each member has a personal contract with TIAA and may continue contributions at other educational institutions. Individuals may also continue to contribute payments whether employed by a participating TIAA institution or not.</td>
<td>There is a graduated scale of vesting with 10% vested benefits after 4 years which increases to 100% after 10 years of contributions.</td>
</tr>
<tr>
<td><strong>VESTING OF RETIREMENT CONTRIBUTIONS</strong></td>
<td>Continues</td>
</tr>
<tr>
<td>Both employer and employee contributions are 100% vested from the date of contribution.</td>
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Continued
Provisions of JCRS-B (TIAA-CREF) and the Tennessee Consolidated Retirement System

TIAA-CREF

FORMULA BENEFITS
No State of Tennessee formula benefits are available to JCRS-B members. TIAA-CREF annuities provide total retirement income to JCRS-B members.

DISABILITY RETIREMENT
There is no provision for disability retirement for JCRS-B members. However, if the employee has a long-term retirement contract with TIAA, he/she may request an annuity settlement and receive whatever amount is payable as an annuity at that age. However, eligible employees may elect to be covered under an optional TIAA long-term disability program discussed later.

REFUND
If a member terminates employment and is not moving to another participating institution in TIAA, he/she may repurchase a contract of less than 5 years. If the retirement contract is more than 5 years old, a refund is available only if the total accumulation is less than $2,000. Upon refund, the member receives only the employee share of the contribution to TIAA.

VARIABLE RETIREMENT INCOME
CREF is a variable annuity which may decrease or increase retirement income in accordance with investment earning; its primary investments are in common stock. Although TIAA is a fixed annuity, income payments vary due to interest and dividends. Amount of income payable at retirement is based on the value of the accumulation and the person’s age and sex.

COST-OF-LIVING INCREASES IN RETIREMENT INCOME
There are not cost-of-living increases as such. Instead there may be variances in annuity income as stated in the preceding item.

DEATH BENEFITS BEFORE RETIREMENT
The value of the total retirement accumulation is payable to the named beneficiary of the estate. If the value of the accumulation is sufficiently large, the beneficiary may have other options including annuity payments.

TCRS

A formula using average salary and creditable service is used to compute all retirement allowances. This formula is also permitted for JCRS-A members.

After 5 year's creditable service, the member is eligible for disability retirement income computed with the formula. Accidental disability retirement is also provided if the employee is disabled on the job.

Any terminated member or an employed member who has changed to part-time may request a refund of his/her contributions plus interest at any time. The employee would waive any right to the employer share if he or she receives a refund.

TCRS is a defined benefit plan. Since income is computed with a formula and not based on the value of a retirement accumulation, the income is fixed except for legislative changes in the formula benefits and cost-of-living increases.

Adjustments in income to reflect increases or decreases in the CPI may be made. Such adjustments may not exceed 3% under present legislation.

If the member dies before becoming eligible to retire and within 120 days of active service, the beneficiary or estate receives a lump sum payment which amounts to twice the value of the member’s accumulation. If the member is age 60 or has at least 30 years of service, he/she may execute Option 1, an automatic 50%-to-survivor annuity. If the member fails to execute Option 1, an automatic 50%-to-survivor annuity will be paid to a spouse if the member had at least 10 years’ creditable service.

Members in the TIAA-CREF plans may place a varying proportion of retirement contributions in TIAA investments and CREF investments. They may change the proportion of contributions at any pay period but can only change CREF accumulation to TIAA investments after age 55; they may not switch TIAA accumulation to CREF accumulation.

Certain categories of faculty members may not participate in either retirement plan. These include bona fide students (as defined by the University); visiting or temporary teaching staff who are appointed for less than six months; employees covered under a federal retirement act; or part-time employees hired after July 1, 1977. These categories are further explained in the Benefits and Services book.

Employees are eligible for retirement at age 60 or after 30 years of creditable service in the retirement system. However, TCRS members who joined the plan after March 29, 1976, must have a minimum of four years of creditable service to be eligible for retirement.

Formula A, as described below, may be used to calculate benefits for either TCRS or JCRS-A members. Formula A
is the primary formula used. However, JCRS-A members may choose to use Formulas B, C, or D to calculate benefits. These formulas are found on pages 17 and 18 of the October 1977 Benefits and Services book.

**Formula A**

\[
1.5\% \times \text{Average final compensation not in excess of Social Security Integration Level} + 1.75\% \times \text{Average final compensation in excess of Social Security Integration Level} + \text{years of credited service}
\]

“Average Final Compensation” refers to the average of the highest salaries paid over any five consecutive years.

“Social Security Integration Level” is a dollar amount, which is prescribed by law, derived from the Social Security base each year. For 1978, the Integration Level is $8,400. The service retirement allowance cannot exceed 75% of the member's average final compensation.

The “years of credited service” are spelled out specifically in the Benefits and Services book. Employees on approved leave of absence should check on provisions to continue contribution while on leave.

Employees under TCRS may choose several options when selecting the method of retirement allowance payment:

1. **Single Life Annuity:** Pays maximum benefits for life with benefits ceasing at death. This is the amount derived from the formula.

2. **Option One:** Pays reduced benefits for the life of the retired employee, and then continues to pay the same benefit for the lifetime of the surviving beneficiary. The amount of the reduction is based upon the age and sex of the retiree and beneficiary.

3. **Option Two:** Pays a reduced benefit for the life of the retired employee, then pays 50% of the reduced allowance throughout the life of the surviving beneficiary.

Other retirement option allowances are explained in the Benefits and Services book.

JCRS-A members receive two retirement payments—one from TIAA-CREF and one from the State of Tennessee. Options open to JCRS-A members which are similar to TCRS may be found on pages 23 and 24 of the October 1977 Benefits and Services book.

JCRS-B members receive payments from TIAA-CREF only, and options for their payments are listed on page 23 of the October 1977 Benefits and Services book.

**Tax-Sheltered Annuities.** In addition to the regular retirement contributions, regular UT employees who are on the monthly payroll may elect to take a salary reduction to enter into a tax-sheltered annuity contract. Such agreements are normally made during the month of November and become effective the following January 1. Agreements may be cancelled at any time during the year.

**Retirement Planning.** Retirement planning programs are available to staff members. These programs include: a discussion of role adjustments and biological changes that take place in later life, review of the need for financial and legal planning and of the benefits provided by Social Security and Medicare. Resource advisors, experts in the various fields covered in the sessions, lead the discussions. Programs are held quarterly.

**INSURANCE**

**Group Insurance Basic Program.** Four major areas of coverage in the basic group plan include hospital expenses benefits, major medical benefits, term life insurance, and special accident insurance. Details of the various programs may be obtained by contacting the Insurance Office, 211 Student Services Building. Regular University faculty who work a minimum of 30 hours per week (at least 75% time and for a minimum of two consecutive quarters) may participate in the State of Tennessee Group Insurance Program. The employee may elect to take either individual or family coverage.

On January 1, 1978, the State of Tennessee became self-insured and has contracted with two insurance carriers to administer the plan. Blue Cross/Blue Shield of Tennessee processes claims for the medical portion of the plan, and Provident Life and Accident Insurance of Tennessee handles the life and special accident insurance.

Enrollment in this plan is assured if application is made within the appropriate enrollment period (first 60 days of employment). After the first 60 days, the employee is required to prove insurability on himself/herself and any dependents. The employee and the University each contribute 50% of the total premium. The amount of life insurance coverage and employee contributions is based on the employee’s salary. Coverage begins on the first day of the calendar month coinciding with or following completion of one month of active service.

**Optional Insurance Coverage.** In addition to the basic group plan, other available programs include supplemental major medical, which reduces the major medical deductible from $150 to $100 and increases maximum lifetime amounts payable from $250,000 to $300,000; optional special accident insurance, which provides additional coverage to that in the basic plan; permanent life insurance, which is available after 5 years of employment at UT; and long-term disability (under Provident). An employee must be a member of the basic group plan in order to participate in the supplemental major medical or the optional special accident programs. The employee contributes 100% of the total premium for any and all programs selected in addition to the basic group plan.

**Long-Term Disability Insurance.** This plan handled by TIAA was started July 1, 1977 and is an optional plan where the employee pays the full premium of the insurance. Full-time academic and staff exempt employees under age 75 may enroll in the plan provided through Teachers Insurance and
Annuity Association (TIAA) after one month of service. Failure of new employees to enroll promptly will shift the burden of insurability to the employee. This plan provides two types of benefits, both of which begin on the first of the month following four consecutive months of total disability. First, the plan includes a monthly income benefit, which equals 60% of the first $2,000. The monthly benefit may not exceed $2,500. Second, a monthly retirement annuity premium benefit is paid to a TIAA contract by this plan. Benefits are payable during such disability until age 65 or prior to death. Cost of this plan is $5.04 per month per $1,000 of earned monthly income. Additional information is available in the book, TIAA Group Total Disability Plan for Academic and Exempt Employees.

Workmen's Compensation. An employee sustaining a job-related injury or illness in the course of employment with the University is covered by the State of Tennessee Board of Claims. All claims are considered by the State Board under benefit regulations comparable to those provided by the Tennessee Workmen's Compensation Law.

An approved claim provides salary continuance up to 66-2/3% of base pay, not to exceed one hundred dollars ($100) per week, to be paid to an employee unable to work due to a job-related injury or illness after he/she is placed on leave without pay and until such time as the consulting physician states that the employee has sufficiently recovered to resume work. All on-the-job injuries should be promptly reported through appropriate channels to speed filing of claims, where warranted, with the Board of Claims. Such claims are routed through the campus Personnel Department to the University-wide Personnel Office.

Public Liability. The University carries general public liability insurance which affords protection to the faculty and staff for liability to third parties for personal or bodily injury or property damages which such third parties may sustain due to negligence on the part of University employees in the performance of their official duties or because of defectiveness of University buildings, grounds, equipment, services, or products.

The insurance policies under which general public liability coverages are provided are all endorsed to cover as "additional named insured any officer, director, trustee, teacher, staff or other employee while acting within the scope of his duties as such." The classification of service as "advisor" to officially recognized student organizations or groups is included within the scope of faculty and staff duties.

Hazards Covered. Coverage includes the usual premises hazards of bodily injury and property damage and, in addition, personal injury liability insurance for such offenses as false arrest, malicious prosecution, libel, slander, defamation, violation of privacy, and wrongful entry or eviction. The basic policy provides an aggregate coverage of $300,000 per policy year for bodily injury liability under these basic coverage categories and $50,000 property damage liability. Substantial umbrella protection (in excess of $1,000,000) is provided in the event these basic amounts are exceeded. No deductible amount is applicable to the categories above.

Officers' and Directors' Liability Insurance. The University's liability insurance also includes a special type of coverage designated as "officers' and directors' liability insurance" which applies to suits over such matters as Civil Rights violations or other Wrongful Acts committed or omitted by the insureds other than fraudulent or dishonest acts. Faculty and staff are additional insureds under this coverage. Since such claims are usually in large amounts, substantial limits of coverage are provided. This coverage is subject to a $5,000 deductible clause which means that the officer, director, employee, or the University would be responsible for the initial $5,000 of legal expense or judgment.

Automobile Liability. Since August 1, 1974, all claims against the University for personal injury or property damage caused by negligence of University officials and employees in the operation of University-owned motor vehicles have been heard, determined, and settled by the State of Board of Claims. The State Board of Claims is not empowered to settle claims that an injured party might bring directly against an employee-driver. Employees concerned with their personal risk exposure in this area have been advised to contact their insurance agents regarding the cost and procedure for endorsing the desired non-owner automobile liability coverage to their existing private automobile insurance. The State Board of Claims will not consider claims for injuries sustained by unauthorized passengers or for injuries or damages arising from the negligence of a non-employee driver. Students are not authorized or permitted to drive a University-owned vehicle unless they are current employees of the University and the driving is in connection with their employment.

Through action of the 1978 Tennessee General Assembly, provision has been made for the State Board of Claims to settle claims against the University which stem from negligence of University officials and employees in the operation of privately-owned motor vehicles in performing assigned duties with the University.

The liability insurance program provided by the University is constantly under evaluation by both internal and external authorities to insure that it provides adequate protection to the University and its faculty and staff. Questions concerning specific areas of liability coverage should be addressed to one of the following University officials: Treasurer, Director of Finance, Vice Chancellor for Business and Finance.

SOCIAL SECURITY

All full-time faculty members are automatically covered under the provisions of the Federal Old Age and Survivors Insurance Program (Social Security). Eligibility is prescribed by the terms of a private contract automatically covered by law. No enrollment forms or physical examinations are necessary. The University and the employee each
The beneficiary or estate of the deceased employee will contribute at the rate prescribed by the current Federal Social Security legislation. The four different types of benefits included in Social Security are Disability Insurance, Survivors Insurance, Retirement Insurance, and Medicare. Temporary and part-time faculty employed after July 1, 1977, are not covered by Social Security.

In 1978, social security taxes will be paid at the rate of 6.05% and the wage base or maximum amount of earnings subject to these taxes is $17,700. For information regarding benefits, contact the local Social Security office.

DEATH BENEFITS
The coordination of death benefits for the survivors of deceased employees on the Knoxville Campus is handled by the Campus Personnel Office, 1900 Terrace Avenue. The department head of a deceased University employee should notify the Personnel Office of the employee's death, date of death, and name of next of kin. The coordinator will then contact and work with the survivor in completing a Survivor Assistance Report.

The University policy as to pay for services rendered by regular full-time and regular part-time employees (not including temporary employees or student employees) in active pay status whose appointment is terminated by death is as follows:

| Personnel employed on academic year appointments: | The beneficiary or estate of the deceased employee will receive the annual salary earned but unpaid at the time of death plus 1/12 of current annual salary. |
| Personnel employed on twelve-month appointments: | The beneficiary or estate of the deceased employee will receive his or her regular pay earned to the date of death, plus accrued annual leave, plus one calendar month's regular pay. |

WAIVER OF FEES AND COURSE WORK
Fee Waivers. Regular, full-time faculty members who hold the rank of instructor or above are permitted to take two courses or eight hours of course work each quarter in which they are employed without paying fees. In addition, instructors who are not teaching during the summer quarter but who will be teaching for the coming year (September-June) may take up to 18 hours of graduate courses with fees waived during the summer quarter. No fee waivers are granted for undergraduate courses unless (1) the undergraduate course is taken for graduate credit; or (2) the undergraduate course is a prerequisite for a graduate course or a graduate degree.

To receive credit for graduate courses, a faculty member must be accepted by the Graduate School; fill out a scan form; and take a letter from the department head, authorizing him/her to have fees waived, with him/her to registration. Faculty members may audit courses with the approval of the course instructor. Formal registration is not needed.

The following categories have certain restrictions and provisions:

1. Graduate Assistants and Teaching Assistants. Appointments to graduate assistantships and graduate teaching assistantships which require at least one-fourth time are accompanied by a scholarship providing payment of regular University fees for the period covered by the appointment. All graduate and graduate teaching assistants must pay their own University Programs and Services Fee. To be classified as a graduate assistant, the student must be based in an academic department. Graduate students who are based in a non-academic department are classified as student assistants, and the course information above does not apply to them.

2. Graduate Research Assistants. A position financed from gift, grant, or contract funds, does not include payment of fees as part of the stipend. Funds received from outside sources normally have funds for course work built into the stipend.

3. Part-time Instructors. Individuals holding such appointments must pay their own fees.

4. Fellowships. Some fellowships provide for the payment of fees and others do not. Whether or not the individual is responsible for such charges, he or she normally pays the University Programs and Services Fees.

Earning Doctoral Degrees. The following persons may not be admitted to candidacy for doctoral degrees at UTK:

1. Any member of the instructional, research, library or administrative staff holding the rank of assistant professor, the equivalent, or above at UTK.*
2. Staff in the Institute of Agriculture holding the rank of associate professor, the equivalent, or above and occupying full-time research and extension positions.*
3. Any member of The University of Tennessee statewide administration holding the rank of assistant professor, the equivalent, or above.*

Exceptions to this policy may only be made upon petition to the Graduate Council of the University of Tennessee, Knoxville. Evasion of these restrictions through temporary resignation, acceptance of a lower rank, or leave of absence is not allowable.

Petitioners should present their request in writing, providing adequate assurance that there will be insignificant conflict of professional or administrative interest

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*"Equivalence" here is defined by the Graduate Council as receiving a regular full-time academic-year salary at or above the average entrance-level academic-year salary for academic appointments at the rank of Assistant Professor at UTK during the preceding three years (see UTK Graduate Council Minutes, 1/20/72).
between themselves and the faculty, department, or academic unit in which their doctoral degree is to be sought. Verification of this assurance should also be provided to the Council on behalf of the petitioners by their Department Heads, Deans or Directors and those of the department or academic unit in which their doctoral degree is to be obtained.

OTHER BENEFITS AND DISCOUNTS

Athletics.
1. Athletic Tickets. The Athletic Ticket Office is located in Stokely Athletics Center, 1720 Volunteer Boulevard. Full-time faculty members may purchase two season athletic tickets at a reduced rate for basketball and football games. Priority dates for such purchases are set and announced each year. New faculty members may purchase such tickets after the deadline if any are available.

2. HPER Building and Track. Faculty members and their families are encouraged to take advantage of the Health, Physical Education and Recreation Building. Various sports facilities are available including handball, racquetball, squash courts, and gymnasium. The Tom Black Track, adjacent to the HPER Building, provides joggers and runners a course of professional quality. Locker rooms are available.

3. Fitness Program. The Faculty, Staff & Spouse Fitness Program, held at the noon hour, Monday through Friday, is available to all faculty members. This program provides an excellent opportunity for members to maintain physical fitness while involved in group activities.

4. The Student Aquatic Center. The Aquatic Center offers extensive sports facilities such as indoor and outdoor olympic-size pools, diving tanks, weight rooms, saunas, putting green, ping-pong, and shuffleboard. Individual and family yearly memberships are available. Lockers are available to those holding membership on a waiting-list basis.

5. Intramurals and Sports Clubs. Included in the Aquatic Center building are the Intramurals and sports club offices. Intramural teams offer a variety of activities ranging from volleyball to football. Schedules are published quarterly. Clubs include those interested in sailing, skiing (snow and water), and horse-back riding. Organizational meetings for sports clubs are held quarterly. Check with the Intramural and Sports Club offices for further information.

Clubs.
1. Dining Club. The Dining Club issues charge cards upon request to faculty members and their spouses who want to charge meals in a number of University dining halls. There are no extra charges for this service, and bills are sent monthly. Dining Club offices are in 406 Student Services Building.

2. Faculty Club. All faculty members (instructors and above) are eligible to join the Faculty Club. The club charges modest dues monthly. Benefits of the club, which is located at Neyland Drive and Kingston Pike, include the use of club rooms, dining rooms, the swimming pool (the club has a swim program for children with competitive meets), tennis courts, and a varied social program. Special events for departments or for individuals are often arranged in consultation with the club staff, including receptions for visiting speakers and for prospective faculty, wedding receptions, and birthday parties.

3. Faculty Women's Club. This club helps the women of the faculty and the wives of faculty members get better acquainted and promotes fellowship within the community. A series of monthly programs, including lectures, trips, and discussions is presented.

4. Newcomer's Club. This organization offers new faculty women and wives of new faculty members an introduction to the University community. Dinner groups organized by the Club offer a pleasant way for new members of the faculty to become acquainted, especially with persons in departments or colleges other than their own.

Credit Union.
The UT Federal Credit Union (1809 Andy Holt Avenue, Telephone extension 3039) is available to regular UT employees who wish to save regularly and borrow money at reasonable terms. Joint accounts and family accounts may be opened. A joint member may withdraw from the account and has rights of survivorship.

Members with $5.00 or more savings in a share account may apply for loans for any useful purpose. The current interest rate is 12.0 per annum on most loans except new auto loans which are slightly less. Members must complete a loan application based on either personal credit or joint credit with spouse. The maximum amount that a member can borrow on his or her signature is currently 10 percent of annual salary up to a maximum of $2,500.

Share accounts are insured up to $40,000, and payroll deductions are available to members to save on a regular basis. Dividends on share (saving) accounts are paid semiannually. The dividend rate paid in recent years has been 6.0 percent per annum. Members may withdraw from their accounts at any time during office hours.

Cultural Events.
1. Music Department. The Music Building is located on Volunteer Boulevard and Temple and sponsors a variety of recitals and band concerts each year. Program announcements are prepared quarterly and include the specific function, dates, and cost.


McClung Museum (Circle Park Drive) has a variety of permanent and traveling exhibits available to view, as well as works from local artists. The University Center also displays art exhibits in the Concourse Gallery.

3. Theatre Tickets. The University Theatres offer a rich and varied season of plays in the Carousel and Clarence
Brown Theaters, as well as in the experimental Theatre 2. A professional repertoire company, the Clarence Brown Company, presents professional actors in important classical and modern plays. The Major Company is made up of students, faculty and townspeople. Season tickets are usually available for the performances of both companies. Discount prices are frequently made available to staff members for certain performances.

**Food Facilities.** University employees may take advantage of excellent quality foods at very reasonable prices. The University Bakery at 1000 White Avenue, offers fresh baked goods and special order cakes. The UT Creamery on the Agriculture Campus provides dairy products (milk, butter, cottage cheese and ice cream). In addition, the University Meat Laboratory also on the Agriculture Campus offers selected cuts of meats.

**Identification Cards.** All faculty members are provided identification cards by the I.D. Office in the University Center. Retired faculty are issued cards through the Personnel Department. These cards are used to acquire various University services such as checking out books from libraries and bookstore discounts.

**Recreation Discount Tickets.** Faculty and Staff members may receive discount recreation tickets at the Personnel Office, 1900 Terrace Avenue, for a number of amusement activities, including the Magic Kingdom Club (Disneyworld), Opryland, Six Flags, Silver Dollar City, and Ripley’s Believe It or Not Museum.

**Safety Glasses and Shoes.** The Personnel Department offers safety glasses and safety shoes to staff and members at a discount. A display of both may be seen at 1900 Terrace Avenue. Orders for Safety Glasses are processed through American Optical, and Safety Shoes are available through Hi-Test.

**Publications.**

1. **University of Tennessee Press.** The Press, an increasingly distinguished publisher of important works by scholars across the country, is an accredited member of the Association of American University Presses. All publications are available to faculty at 20% discount.

2. **Other Publications.** The University community produces numerous periodicals including the Chancellor’s Newsletter, which is published bi-weekly by the Public Relations Office (One issue each quarter is reserved for a Faculty Newsletter edited by The Faculty Senate); the Daily Beacon, the student newspaper; the Phoenix, the student quarterly literary magazine; the Volunteer, UTK’s yearbook; Horizons, a quarterly theme-oriented publication and distributed on campus newstands; the Torchbearer, a quarterly alumni and staff publication published by the University-wide Public Relations Office; Staff Stuff, the monthly employee newsletter published by Personnel; and This Week on Campus, a weekly calendar published by Public Relations and distributed Fridays on campus newstands. Many departments also have their own newsletters.

**University Book and Supply Store.** The main store is located in the University Center and branch stores are housed in the Presidential Court Complex and Hess Hall Dormitory. The main store offers a large selection of paperback and hardcover trade books, as well as the full stock of textbooks for University courses. A general section sells records, film, writing and drawing supplies, posters and calculators. Earnings of the Bookstore help to support the programs of the University Center. Faculty members with I.D. cards receive a ten percent discount on most purchases with the exception of textbooks.

**BENEFITS DIRECTORY**

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One of the three basic missions of the University is **research**, as defined in Chapter I:

Research is the foundation and key to the learning that the University provides. Research is simply learning at the most advanced, creative, and systematic edges of knowledge, where discovery and imagination constantly recast the relation between the known and the unknown. University research makes application of existing knowledge to important practical problems, and it also achieves in pure or theoretic form a basic knowledge that may eventually have application in surprising new ways.

As the largest and most comprehensive public university in the state, UTK has a major commitment to research in most of the traditional disciplines as well as in many new or emerging fields of study. Fundamental work is done in subjects as diverse as anthropology, agriculture, literature, religion, physics, engineering, economics, art, and music. The University expects its faculty to participate in research, and encourages and rewards such activity. Deans, directors, and department heads are expected to make this commitment to research an important part of their planning and budgeting. (A more complete description of this commitment as part of the University’s mission is found in the UTK Role and Scope Statement.)

"Research" has many meanings at a major university. Its content and style vary substantially. It is the development or refinement of information, the insight and sense of relationship that may be drawn from information, the development of new techniques and technologies, and the application of such knowledge to the solution of problems. Both applied and basic research are appropriate pursuits of faculty, and both are recognized at UTK. In the arts and humanities research may include the creation of new art and argument, the edition or translation of texts, and the construction of new models and theories. The imagination and conscience here in evidence are judged indispensable to the University’s full research responsibility.

As the shape and direction of research changes, new problems and subjects arise that require the attention of several disciplines. At such times interdisciplinary research becomes significant. The University aims to encourage such interdisciplinary work by removing or inhibiting administrative barriers to the cooperation without which solid interdisciplinary research is not possible. Some research may demand the effort of a single faculty member working with a few students, another the concerted efforts of faculty from several disciplines. The ongoing research of the faculty provides the vehicle and the environment for theses and dissertation work of graduate students, so there is an intimate relationship with instruction. Because much research aims to solve problems posed or faced outside the University, there is also a clear kinship with the University’s public service.

**CENTRAL ADMINISTRATIVE SUPPORT**

The content and conduct of research is primarily the responsibility of the faculty members who must do it. It is the corresponding responsibility of the administration at all levels to exercise strong leadership in encouraging, assisting, recognizing, and rewarding good research. At the central administrative level the offices of the Vice Chancellor for Graduate Studies and Research are specifically charged to provide a variety of services in this connection. They:

1. assist the faculty in developing and promoting proposals to external sources of support;
2. work with faculty, Department Heads, Deans, and Directors to make effective use of the school’s resources;
3. assist in developing new concepts, program directions, and procedures;
4. maintain a support reference library and disseminate potential support information to faculty;
5. review and approve all proposals for external support, as well as negotiated changes in existing programs;
6. renegotiate changes, patents, copyrights and reports as needed; and
7. provide institutional leadership in the long-range development of the general research effort.

**RESEARCH COUNCIL**

The Research Council of the Faculty Senate is an advisory group broadly representative of the faculty. It serves an important function in research program development by analyzing and giving advice on many issues affecting research. The Council makes possible the interaction of representatives from the many areas and programs and provides a means of emphasizing the place of research in the University’s mission. Information about research programs is shared and discussed by Council members, who are concerned also to disseminate such information among the general faculty.
THE FUNDING OF RESEARCH

The University sets aside its own money for research in a number of ways: it allows faculty time for "Departmental Research" and for "Thesis and Dissertation Supervision," it permits a significant measure of discretion within departmental and college budgets, it arranges for various levels of cost sharing, and it provides a Faculty Research Fund. The Faculty Research Fund provides awards on a competitive basis for faculty, usually in the summer months. Special emphasis is given to research in disciplines not heavily supported by federal agencies; to research which is being developed and in which the grant might be viewed as "seed" money for attracting external support; to research which will give added specific emphasis to the individual, the department, the college and the University's development and growth. Competition for the awards usually occurs annually in January or February.

A steadily increasing amount of external support is available through a variety of grants, contracts, and gifts, which faculty are strongly encouraged to seek. Such money comes from government, business, industry, foundations, and individuals.

Considerable research is also carried on by the faculty without extra financial support, simply on their own initiative and motivation. The University tries, however, to assist faculty members in finding suitable support from appropriate sources.

GRANTS AND CONTRACTS

Procedures for grant preparation are covered in detail in the Grants and Contracts Manual, copies of which are available in the Graduate Studies and Research office. This manual deals with such topics as allowable costs in federally funded research, proposals and grant processing, personal costs, indirect costs (overhead), staff fringe benefits, cost sharing, and establishment of accounts.

Initiation of proposals for grants and contracts is the prerogative and responsibility of the faculty. The office of Graduate Studies and Research seeks to assist the faculty in this enterprise.

RESEARCH CENTERS

Several research centers have been established at UTK for interdisciplinary research devoted to scientific topics, issues, or problems. Proposals for new research centers are submitted through the Department Head and Dean to the Chancellor's staff for administrative review and approval before submission to potential sponsors. Such proposals are usually reviewed also by the Research Council, which is asked to give advice on their merits and feasibility.

Many interdisciplinary or other specially oriented programs are, of course, simply handled through informal cooperative arrangements among faculty and departments.

CONFLICTS OF INTEREST

Questions of conflict of interest sometimes arise. Outside interests may be favored, benefits may be improperly distributed, or personal financial interests may be inadequately disclosed. The University endorses the joint statement of the Council of the American Association of University Professors and the American Council on Education on preventing conflicts of interest in government-sponsored research. This statement is available in the office of the Vice Chancellor for Graduate Studies and Research.

PATENTS AND COPYRIGHTS

When the University agrees to render specified services under a contract or grant, it may be obliged to grant certain rights in connection with data developed, copyrights, inventions, etc. Persons working on the grant or contract may be required to sign an agreement related to discoveries and inventions. A copy of the agreement may be obtained from the office of the Vice Chancellor for Graduate Studies and Research.

In sponsored research, the sponsors' criteria for patent rights and copyrights will prevail. So it is important for the project director to be thoroughly familiar with the patent and copyright regulations applying to any grant or contract, whether they be in the award document itself or included by reference to other documents, such as Federal Procurement Regulations.

If patentable or copyrightable items should be developed at University expense, these items may be handled through the U.T. Research Corporation. Items developed independently by faculty may be handled through the Corporation at the discretion of the individual.

U.T. RESEARCH CORPORATION

The University of Tennessee Research Corporation was chartered in 1935 as a nonprofit organization to encourage the scientific and educational research of the faculty. The Corporation helps the faculty develop and manage patents and copyrights.

Persons who require assistance from the U.T. Research Corporation should contact its President through the office of the Vice Chancellor for Graduate Studies and Research.
SPECIAL REVIEW REQUIREMENTS

Several kinds of research require special review. These include research involving potential hazardous experiments, research involving narcotics and other dangerous drugs, and research involving human subjects.

The University is morally and legally bound to observe a high level of professional care in these situations. At the publication of this Handbook, there are three review committees.

1. The Committee on Research Participation (Human Subjects). Federal law requires specific approval and continuing review of research involving human subjects, in the social, physical, or biological sciences, or in education, law, or humanities. The University has an established procedure for reviewing proposals for research that may involve human subjects. Application for review by the Committee on Research Participation must be made before the research is initiated.

2. The Committee on Radioactive Substances is responsible for reviewing, authorizing, and monitoring the use of all radioactive substances on campus. Research involving potential experimental hazards associated with use of toxic materials, infectious organisms, and genetic recombination also require review.

3. The Biohazards Committee is responsible for reviewing proposals for research involving such materials and/or procedures.

The Federal Controlled Substances Law of 1971 regulates the legal handling of narcotics and other dangerous drugs ("controlled substances") in an effort to reduce illicit drug traffic. Persons using narcotics or other dangerous drugs in their research or teaching programs involving either human beings, lower animals, or plants must register through campus channels with the state and obtain a registration number for each research project. The faculty member should discuss with the Department Head the need for narcotics and/or dangerous drugs during the early planning stages of a research project or instructional program.

Guidelines for special review requirements are available in the Office of the Vice Chancellor for Graduate Studies and Research. Because of the necessary lead time for review, it is important to contact the chairperson of the appropriate review committee at an early stage of proposal preparation.

CLASSIFIED RESEARCH AND PROPRIETARY RESTRICTED RESEARCH

A policy was to be formulated after the writing of this Handbook pertaining to approval of Federally classified research and proprietary restricted research. The office of the Vice Chancellor for Graduate Studies and Research should be consulted for further information on research that will at the beginning be classified, that may become classified as research is being done, or that may be restricted on account of proprietary interests of the sponsor.
OFFICIAL TRAVEL

(Note: The travel regulations of the University of Tennessee are set forth in Section VII of Fiscal Policy and Procedures Statement (FPPS) No. 5. Since those policies are changed and updated from time to time to correspond with changes in the travel regulations of the State of Tennessee, specific details concerning expenditure and reimbursement amounts are not contained in this Handbook. For such specific information, please consult the FPPS notebook in departmental or collegiate offices. The University of Tennessee Fiscal Policies and Procedures Statements are promulgated and reviewed by the Office of the Vice President for Business and Finance.)

Faculty members are encouraged to attend and participate in professional meetings as part of their professional growth and development. Travel must be required for the proper execution of official University business, or in justifiable pursuit of the University's educational and research objectives.

GENERAL POLICY

1. The regulations in this section govern travel at University expense. Authorization for travel will not be granted and expenses will not be reimbursed unless the travel is made and reimbursement claimed in accordance with these regulations.

2. Reimbursement is made only for actual and necessary expenses incurred, subject to the limitations given here. Receipts must be submitted with the expense account for each expenditure of $2.50 or more, except for meals, taxi fare, tolls and ferry fees. An accurate record must be kept of expenses incurred, since reimbursement is not made on estimates. Allowances in lieu of expenses are not approved except for mileage in use of private automobiles.

3. Regulations governing travel expenses paid from special grant or contract funds follow provisions of the grant or contract where such instruments specify travel regulations. Where no provisions are made, standard University regulations described here are applicable.

4. Expense incurred at the official station of any officer or employee is not allowed. The official station is office headquarters or the designated location of employees established in the field. Deviations for unusual or hardship cases must be justified and authorized in advance. Expenses for meals at the official station are not allowed unless (a) incurred in connection with overnight travel outside the county of the official station, or (b) when occasional excessive hours of work are required outside the county of the official station. Mileage is computed from the employee's residential or official station, whichever is shorter.

5. The limits on travel expenses authorized by the University should not be construed as amounts to be spent. They are maximum amounts above which reimbursements cannot be made.

AUTHORIZATION FOR OFFICIAL TRAVEL

1. A completed Travel Authorization Form (No. T-18) must accompany each request for reimbursement of official travel (available from the Treasurer's Office). This authorization is prima facie evidence of the official nature of the travel and serves as supporting documentation for workmen's compensation and related insurance claims in the event of accidental injury or death. For this reason, staff members must initiate travel authorization forms sufficiently in advance in order that they may be reviewed and approved by the appropriate authority and returned before the departure date. The Dean or Director must approve all intrastate travel in the college or division. The appropriate Vice Chancellor must approve travel for Deans and Directors. All interstate trips must be approved in advance by the Dean (or Director) and Vice Chancellor.

2. Requests for authorization must show the purpose of the trip, destinations, length of travel, date and time of departure and return, and mode of transportation.

3. The original of the approved Travel Authorization (Form T-18) must be attached to the expense account when submitted to the Treasurer for reimbursement.

4. Deans, Directors, Department Heads and others authorized to approve travel requests are guided by the following considerations:

(a) Meetings and conferences must be of a professional nature that will enhance the individual's service to the University.

(b) Attendance of an individual at professional meetings should normally be limited to one each fiscal year unless he/she is invited to deliver papers at more than one meeting or unless he/she is an association officer whose attendance is required at more than one meeting.

(c) Use of a University car is encouraged if more than one individual is attending the same meeting. If authorization is given to use a University car to attend a meeting, no concurrent authorization for other modes of travel at University expense is granted unless there are more than four official representatives for
each University car making the trip, or unless sufficient justification is made.

(d) For minor travel expense, authorization may be made by groups, and, if so, expense accounts for each group must be processed at the same time.

(e) Established field travel may be covered by blanket travel authorization for definite periods of time.

TRANSPORTATION EXPENSE

1. Persons traveling singly should travel by common carrier (air, train, bus) whenever practical and take advantage of round-trip rates when available. Travel must be by the most direct route possible; those taking an indirect route must bear the extra expense for it.

2. Air Travel. Airplane travel is recommended when time is a major factor or when other methods of travel would increase the subsistence expense. A copy of the airline ticket or an acceptable receipt must be submitted with the expense account. See below for approved procedures for securing of and/or claiming reimbursement for commercial transportation. Air travel must be by tourist or economy class. If more expensive accommodations are required, an explanation must be made on the request for reimbursement.

3. Train Travel. A receipt for transportation fare (the railroad’s ticket envelope with the fare shown on the outside will suffice) must be submitted with the expense account. When Pullman accommodations are used, the Pullman ticket stub must also be submitted with the expense account.

4. Bus Travel. A receipt or ticket stub for bus travel must be submitted with the expense account.

5. Travel by Car. Car transportation may be used to save time when common carrier transportation cannot be satisfactorily scheduled to cover a number of outlying places, or to reduce expenses when two or more University employees are making the same trip. Authorization will not be given for the use of more than one automobile unless there are more than four persons.

(a) University Car. University-owned cars should be used if they are available. A courtesy card, supplied with Motor Pool cars, will be used for gas, oil, and other auto service. (Refer to Section IV, paragraph 8-d, FPPS No. 5, for procedure for requisitioning a University car.)

(b) Personally-Owned Car. When a University-owned car is not available, the employee may use his/her car for personal convenience provided that the University does not incur additional expense above that of other forms of transportation available. (Reimbursement policies are outlined in FPPS No. 5.)

6. Limousine Service and Taxi Fares. If travel is by common carrier, limousine service or taxi fares necessary to transport the traveler to and from the airport or station, or between carriers, is allowed. No receipt for this expense is required, but each fare must be individually listed on the expense account. Taxi fares for other local transportation is not allowed when regularly established streetcar, bus, or subway service is available unless the need to use taxis is explained on the expense account.

7. Car Rentals at Destination. If it is necessary to rent a car at the trip destination, or for a portion of the official travel, the procedures set forth below should be followed in renting the car and demonstrating the cost for it on the expense account (Form T-3). If it is known in advance that a rental car will be required, this fact should be indicated on the Travel Authorization Form (T-18).

Personal accident insurance providing personal benefits for the renter is a personal expense and is not reimbursable. Charges for such additional coverage should be deducted from the car rental receipt for reimbursement purposes.

8. Check-in Expense at Hotels and Motels. Reimbursement of such expense up to $2.00 is allowed at each check-in.

9. Tolls, Ferry Fees, and Parking. Tolls and ferry fees are allowable. Necessary charges for hotel and airport parking are allowed if airport parking fees do not exceed normal taxi fare to and from the airport. Receipts must be furnished for airport and hotel parking.

SUBSISTENCE EXPENSE

1. General. No reimbursement is paid for meals or lodging within the limits of the employee’s official station or place of residence except under the conditions given above. Unnecessary meals and lodging expenses made necessary by a car used for the employee’s personal convenience or which are due to travel by an indirect route, are not allowed. Conservatism is expected in the choice of hotel and motel accommodations. Field persons located in one place for an extended period are expected to negotiate and secure reduced rates.

2. Lodging. Lodging expense applies to the date of check-in. (Reimbursement allowances are outlined in FPPS No. 5.)

(a) Representatives to official meetings are authorized to stay at the official headquarters hotel, but here the more moderately priced accommodations must be requested if there is a choice. Special consideration will be given in such situations if the travel authorization request contains the name of the headquarters hotel and the anticipated daily rate.

(b) If a room is shared with someone other than a University employee on official business, three-fourths of the actual cost of the room is allowed. In cases where the single rate for shared accommodations exceeds three-fourths of actual cost, the single rate is allowed if proper documentation by the hotel cashier is submitted with the expense account, subject to the maximum amounts given above. The receipt for the entire amount paid must be submitted with the expense account on which either three-fourths of the cost or the single rate is claimed.

(c) En route lodging may not exceed one night each way on out-of-state travel.
3. Meals. (See FPPS No. 5 for meal expense allowances.)
   (a) The cost of an official banquet above the authorized daily limit is allowed if a receipt or proper explanation for the banquet charge is submitted.
   (b) The following time schedule for departure from and return to the official station governs eligibility for meal reimbursements:

<table>
<thead>
<tr>
<th></th>
<th>Before</th>
<th>After</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breakfast</td>
<td>7:00 a.m.</td>
<td>8:00 a.m.</td>
</tr>
<tr>
<td>Lunch</td>
<td>11:00 a.m.</td>
<td>1:30 p.m.</td>
</tr>
<tr>
<td>Dinner</td>
<td>5:00 p.m.</td>
<td>6:30 p.m.</td>
</tr>
</tbody>
</table>

MISCELLANEOUS TRAVEL EXPENSE
1. Tips and gratuities, laundry, valet service, entertainment, etc., are considered personal rather than official expense and are not reimbursed.
2. Long-distance telephone charges made on official business are allowed if the expense account reveals the name and location of the party called, the date of the call, and the nature of the business. Telegram expense is similarly allowed, as are local telephone calls made on official business.
3. Registration fees for meetings are allowed.
4. Meal expenses for other persons properly considered as official guests must be itemized on a separate expense account, with the names of the guests and their official connection indicated. There must be advance approval for such expense by a Vice President or Chancellor.

CLAIMS FOR TRAVEL EXPENSE
1. University Form No. T-3 is used for all claims for travel expense. The expense account must exhibit and prove the travel and its cost, must be susceptible to check, and must disclose all necessary information to prove the claim. (Refer to FPPS No. 5, Section VII.) Forms T-3 are available from the Treasurer’s Office.
2. Expenses for supplies, postage, and other items that do not constitute actual traveling expenses should not be made a part of the travel expense voucher.
3. Expenses incurred in attending professional meetings should be supported by a program or literature which identifies the transportation and substantiates claims for reimbursement therefor.
4. All signatures on the travel expense form must be original. No stamped signatures are permitted.

SECURING TRANSPORTATION AT UNIVERSITY EXPENSE
The normal procedure for securing commercial transportation for official travel is for the employee to pay for the transportation at his/her expense and then to request reimbursement. The following are approved methods of securing this transportation and substantiating claims for reimbursement therefor:

1. Cash Purchase of Transportation by Employee. When the traveling employee personally pays for official travel, an acceptable receipt for submission with the travel expense account (Form T-3) is:
   (a) The traveler’s copy of the transportation ticket which shows itinerary and cost, or
   (b) a receipt from the transportation company or travel agency indicating the information listed in (1) above.

2. Purchase of Transportation by Use of Personal Credit Card. Employees may use personal credit cards. Either of the documents listed above which indicate purchase by credit card will be satisfactory evidence of expense for reimbursement (Form T-3).

3. Purchase of Transportation Through Personal Charge Account with a Travel Agency or Transportation Company. Employees may make arrangements with travel agencies or transportation companies for transportation and billing of the charges to the employee’s personal account. In such cases, either of the documents listed above, or the agency’s invoice to the employee which identifies the transportation furnished is satisfactory evidence of expense for reimbursement (Form T-3).

Charge accounts or credit arrangements are the personal responsibility of the employee, and invoices billed to the employee will not be paid directly by the University to the agency. The employee must claim reimbursement for such costs on the expense account (Form T-3).

SECURING TRANSPORTATION AT UNIVERSITY EXPENSE
For long trips involving large transportation costs, and in other cases where the employee’s paying for the transportation will result in considerable personal financial inconvenience, the employee may arrange through the Treasurer’s Office to secure the transportation at University expense. The following procedures are required:

a. When the employee wants to secure commercial transportation at University expense in advance of the official travel, he/she must present an approved Travel Authorization Form (Form T-18) to the Treasurer’s Office (or appropriate Division Business Office) and request that arrangements be made for the transportation.

b. Upon receipt of each such request, the Treasurer’s Office will assign an official Transportation Request number. An approved travel agency or transportation company will be contacted by the Treasurer’s Office (or appropriate Division Business Office) and authorized to furnish the transportation and bill the charges to the University. The traveler will be advised as to the agency or company authorized to furnish the transportation and will contact the agency or company and make necessary arrangements regarding schedules, itinerary, delivery of tickets, etc.

3. Billing for transportation under authorized Transportation Requests will be submitted by the travel agencies or companies directly to the Treasurer’s Office (or appropriate Division Business Office), which will check the invoices for compliance with the Transportation Requests.
and then forward the invoices to the department which is to be charged for departmental approval and recording.

4. Agencies and companies issuing transportation on the University's account under such Transportation Requests will stamp such tickets as "nonrefundable". If for any reason tickets secured through this procedure are not used, the tickets must be promptly returned to the Treasurer's Office in order that they may be returned to the agency or company for credit to the University's account.
INTRODUCTION
Opportunities exist for many faculty members to render valuable outside professional services for which they may be remunerated. Such outside services strengthen the professional competence of the faculty member as a teacher and scholar, enhance the public service of the University, and open to students opportunities for professional experience and employment.

The wide range in types of consulting prevents the establishment of simple, comprehensive regulations. The following provisions are designed to provide guidance and yet allow flexibility and adaptability to accommodate a wide range of service needs.

The guidelines primarily concern long-term, continuous, or continual arrangements between a faculty member and client. Short-term, non-recurring activities such as participation in symposia, accreditation visits, speaking engagements, exhibitions, or recitals are not covered by these guidelines, but they should be brought to the attention of the Department Head.

The remuneration for outside professional services is regulated by these guidelines only if payment is made through the University from grants or contracts. Such fee schedules are not relevant to individual contracts between the faculty member and a client.

The provisions of this section do not apply to income-generating activities covered by a specific Professional Activity Allowance Agreement, nor to faculty and professional staff of the Institute of Agriculture. Agriculture faculty and professional staff should check with their dean concerning applicable policies.

PROVISIONS
1. If consulting is done during periods of regular employment, prior written permission of the Department Head, with regular reports to the Dean, must be obtained. It is primarily the responsibility of the Head to review faculty requests to engage in consulting activities and to maintain a record of approvals granted.

2. Such work must not interfere with the faculty member's normal University duties, including such normal non-classroom responsibilities as advising, committee work, and research for which regular time is allotted in the faculty load.

3. The consulting work should be related to the faculty member's normal University duties and should contribute to the effectiveness of his or her regular academic work.

4. (a) Faculty members on academic-year appointments may engage in outside consulting or University extra service activities provided the total amount of time expended does not exceed an aggregate of one day per calendar week for periods of regular employment.

(b) Faculty members on twelve-month appointments are covered by the same general University policies pertaining to holidays, vacation, and sick leave as those which apply to administrative or professional personnel of the University. Such faculty members may engage in outside consulting or University extra service activities provided the total amount of time expended does not exceed an aggregate of one day per calendar week for periods of regular employment and that such work is performed entirely outside of normal working hours or at such time as the faculty member is in an official leave status.

(c) Administrative and Professional Employees—The University is entitled to the full professional energies of all full-time administrative and professional employees, and does not expect such employees to accept regular outside employment unless same has been covered by specific agreement with administrative superiors. In many cases successful accomplishment of job requirements requires considerable time in excess of normal office hours, and there is no provision for extra compensation when related to the employee's regular field or scope of employment.

5. If academic-year faculty are engaged on the University payroll during the summer months (e.g. summer school teaching, work on grants and contracts), the limit is one day per calendar week of full-time University effort. The one-day-per-week average is not applicable to portions of the summer in which a faculty member is not employed through the University in teaching or research grants and contracts. Extra service pay days will be considered as the equivalent of consulting for this purpose.

6. Extra service pay on grants and contracts. Official regulations governing the administration of Federal grants and contracts allow extra services of faculty and other professional employees to be charged to Federal grants and contracts only under the conditions (a) that extra consulting or other services required is across departmental lines and (b) provided that prior written approval of the governmental agency has been obtained. In the event that compli-
 ance with these stated procedures exist, charges for extra services to contracts and grants must be at the same effective rate as the faculty member's current University salary. In such cases, procedures often require that time and effort for such work on grants and contracts be budgeted, reported, and paid on a daily or hourly basis. The following applicable definitions must be observed uniformly in determination of the appropriate amounts.

The academic year is defined as thirty-nine (39) calendar weeks, ending on the date of Commencement of the Spring Quarter. When budgets must be structured on a daily rate basis for faculty on an academic year appointment, the rate is: the current academic year salary, divided by 168 days. Allowance is made here for official University holidays as well as actuarial allowance for days of administrative closing. (Example: annual academic-year salary $16,800 = daily rate $100.) When an hourly rate computation is necessary, eight (8) hours are taken as making a duty day. (Example: daily rate $160 = hourly rate $20.) Similarly, for these purposes the summer quarter is defined as 56 duty days, of eight hours per day. The applicable daily rate is the prevailing academic year salary divided by 168.

Faculty and professional staff on twelve-month appointments should use a computational basis of 224 duty days for a 12 months year in the determination of appropriate charges for approved extra service on grants and contracts or in making allocations of University effort to grants and contracts which involve short periods of time.

Note: Grants and contracts should insofar as possible have the work load planned and budgeted on a percentage of effort basis or should be appropriately charged on a percentage of effort basis. The daily or hourly regulations for faculty and professional staff's time should be used only when computing appropriate compensation for extra services on grants and contracts, when specifically required by sponsors, or when short periods of service required on grants and contracts.

7. Days reimbursed as extra-service pay are counted as external consulting days in the definition of the number of days allowed for consulting. Activity covered by Extra Service Pay and outside services should not normally exceed 20% of a faculty member's regular full-time effort. For example, the reimbursement for teaching certain continuing education courses or miscellaneous special short courses may simply be a set fee. The faculty member and the appropriate administrative officer who monitors the activity must exercise caution and common sense in such judgments.

8. Use of facilities. With the exception of facilities for the use of which there are established procedures and fee schedules, University facilities, equipment or services may not be used in the performance of outside consulting work without written agreements and authorizations specifying the nature of work to be performed, the kind of equipment, supplies, material or services to be used, the extent of the use, and the amount to be paid to the University. The amount may not be less than the University's cost or a fair market value. The agreement must be approved in writing by the appropriate department head, or director, and the Vice Chancellor for Business and Finance. Such agreements are maintained on file in the office of the Vice Chancellor for Business and Finance. Such use may not conflict or interfere with regular University operations. It is not uncommon that a short-term, urgent service need arises for which there is little time to negotiate the use of University equipment or facilities. The importance of the University's service role warrants that such cases be expedited with discretion and sound judgment by the faculty member and the Department Head.
The University provides a wide variety of important adjunct services and programs of interest to faculty members. These are designed to support teaching, research and community service, and to maintain the sense of an academic community where the benefits and pleasures of good scholarship are available across departmental and collegiate lines.

LIBRARIES

The University aims to make its libraries the premier research collection in the State of Tennessee. The mission of the UTK Libraries is to support teaching, research, administrative, and community service on the Knoxville campus, and to respond to the needs of scholarship throughout the region served by UTK.

Library holdings in Knoxville, currently over 1,300,000 volumes, are housed in the James D. Hoskins (Main) Library, the John C. Hodges (Undergraduate) Library, and four branch libraries. The UTK collections also include over 48,000 microfilm reels, more than 1,000,000 microtext materials, around 10,000 periodical subscriptions, and over 118 newspaper subscriptions. The Main Library contains the principal comprehensive collection of materials for departments, schools, and colleges not served by branch libraries. The Undergraduate Library contains over 160,000 books and other materials selected to meet the general study needs of undergraduate students. Four branch libraries contain the scientific, technical, research, and professional materials most closely related to their respective areas—Agriculture/Veterinary Medicine, Science/Engineering, Law, and Music.

Materials Selection. Selection of materials for all libraries is a cooperative effort of departmental and library faculty, coordinated by the Collection Development Librarian. Librarians of the four branch libraries, and faculty representatives within each department, serve as liaison between the faculty and the libraries. This arrangement permits the faculty to request the acquisition of materials they believe important for their teaching and research. Faculty members are urged to make the fullest possible use of their library representative.

Loan Periods. Books charged to faculty members have a 90-day loan period. Faculty loans are subject to recall after two weeks. Books may be renewed as many as three times by mail or telephone, but must be returned to the library from which they were borrowed to be renewed a fourth time.

Some frequently used periodicals are for use in the library only, but most can be borrowed for three days. Periodicals in the Undergraduate Library cannot be circulated, and a uniform two-week loan period is observed for all other materials.

Reserve books. Both the Main and the Undergraduate Libraries provide reserve areas to support the teaching programs. All types of materials may be placed on reserve, and periods of use may be varied. In general, materials supporting 1000-6000 level courses may be put on reserve at the Main Library, and 1000-4000 level materials may be located in the Undergraduate Library. In addition, the branch libraries operate reserve areas. The location of the reserve materials for undergraduate courses is determined by the faculty member. If the majority is undergraduate, the material is located at the Undergraduate Library. If the majority is graduate, the material is placed in the Main Library. Reserve materials for any given course cannot be split between the two libraries, nor placed in both at once. Specific instructions about how to place materials on reserve may be found in the pamphlet, Your Libraries, available at any UTK library.

Proxy Borrowing. Faculty members who need to have secretaries, research assistants, and others borrow library materials for them should sign a proxy authorization form, available at any UTK library. A card is issued to authorized proxy borrowers.

Courtesy Borrowing. Spouses and children of faculty members may use the UTK Libraries. An application form, available at any library, must be completed. The loan period for courtesy borrowers is two weeks.

Automated Information Retrieval Services. The Main Library offers computerized searching of a large number of data bases through a terminal located in Main Reference. Faculty members who wish to use this bibliographic tool should contact the Main Reference staff for advice about procedures and strategy. Staff members in the Agriculture/Veterinary Medicine and Science/Engineering Libraries are also available to help in setting up a computerized search.

Non-Print Department. The Non-Print Department, housed in the Undergraduate Library, provides a wide variety of videotapes, records, audiotapes, and other materials of relevance to undergraduate courses. The unit
invites faculty members and departments to make extensive use of the collection in connection with class assignments and for general background interest and enjoyment.

**Faculty Studies.** A limited number of faculty studies are available in the Main Library. These are available to any faculty member, instructor or above, actively engaged in a research project requiring ready access to library resources, or facilities for uninterrupted study. Application should be made to the Associate Director for Public Services, who makes assignments with the advice of the Library Committee of the UTK Faculty Senate. Studies are assigned for periods up to one year. Assignments may be renewed on application, but without preference over any other applications. Usually, faculty members will have to share a study. Studies are for research and scholarship only, and are not to be used as offices or conference rooms.

The paragraphs above review services of the UTK Libraries of interest to faculty members. More complete information about the libraries, including exact services and procedures, may be found in the pamphlet, Your Libraries, published and frequently updated by the UTK Libraries. Copies are available free to any faculty member upon request at any library on the UTK campus.

**OTHER AUXILIARY SERVICES**

**Computing and Data Processing.** A wide range of computing facilities and services are available to faculty members through the University of Tennessee Computer Center (UTCC), 200 Stokely Management Center. All UTCC services, subroutines and prepackaged programs are described in the Users Guide, available at the University Book and Supply Store. Faculty users must complete a "Request for Services Form," available at the administrative office of UTCC. Charges for computer and programmer services are made to funded projects. For approved academic work, computer time and programmer consulting services are provided at nominal cost (or, in some instances, at no cost).

In addition to its regular computer services, UTCC offers two other services of interest to faculty members. The first is a range of short, non-credit courses designed to familiarize students and faculty with the capabilities and applications of computer systems. A schedule of these courses may be obtained from the UTCC administrative office. Finally, the Center publishes the UTCC Newsletter, a monthly bulletin containing news and events of interest to all Center users. Faculty members who wish to get on the free distribution list should contact the UTCC administrative offices.

**The Photographic Center.** (91 Communications and University Extension Building) provides photographic services including production of photographs, slides and 16 mm movies. Terms and charges are available at the Center.

**The Publications Service Bureau** (293 Communications and University Extension Building) assists faculty members in the preparation of a wide variety of materials for publication. Services include consultation on design and artwork, editing, and assistance in preparation of specifications for on- or off-campus printing. In addition, the Bureau holds copies of many official University publications, which are made available upon request.

**The Graphic Arts Service** (260 Communications and University Extension Building) provides a complete printing service. Folders, brochures, booklets, and a variety of other formats can be professionally produced by offset printing for any need, particularly where artwork, photographs and multicolor printing are desired. Duplication facilities are also available for reports, examinations, theses and other materials where fast and economical service is a paramount consideration.

**The Teaching Materials Center** (61 Communications and University Extension Building) houses a substantial collection of 16 mm motion pictures which are available for loan to University faculty members. These films are listed in a catalog, Educational Films, available on request from the Center. The Center also provides color slides and overhead transparencies for instructional use, and lends audio-visual equipment needed to play back the materials its clients borrow.

**Television Services** (40 Communications and University Extension Building) provides information and advice regarding the procurement and use of videotape equipment. The Service will also provide maintenance of videotape equipment owned by University departments. Under special circumstances, portable videotape equipment can be made available at minimal cost.

**The Learning Research Center** (305 Alumni Hall) assists the faculty in the improvement of teaching and learning. A quarterly bulletin, Teaching/Learning Issues, deals with current issues in higher education. The Center also maintains a small collection of books and other materials on teaching and learning, which is available for use by faculty members. The Center provides advice in the evaluation of teaching, in teaching and learning experimentation, and in teaching and learning research. In cooperation with the Academic Affairs Office, the Center sponsors the Fall Orientation for new Faculty as well as a series of Faculty Luncheon Seminars dealing with topics of general interest.

The Center also gives advice about course evaluation. While course evaluation is not required of all units of the campus, teachers are encouraged to make regular use of student and peer evaluation of their courses. The Center has a collection of sample forms used in course evaluation, and will assist faculty members who wish to construct their own forms. Finally, the Center provides consulting services for the improvement of testing and grading, working closely with the Undergraduate Council Committee on Testing and Grading.

**Office of Institutional Research** (111 Student Services Building) provides information about research policies,
procedures and attitudes at both the statewide and UTK levels. OIR also consults with faculty members concerning data sources, research design and past research in a wide variety of subjects. Requests for assistance from the OIR should be directed to the Office of the Vice-Chancellor for Planning and Administration (523 Andy Holt Tower).

Transportation Services (1201 UT Drive) maintains a motor pool, from which faculty members may borrow sedans, station wagons, and vans for travel to meetings or for field trips. Buses for larger parties may also be chartered. Authorization must be given by the Department Head of the unit to be charged.

The Carolyn P. Brown Memorial University Center provides a wide variety of facilities and services for educational, cultural, social and recreational events. Facilities include the Arts and Crafts Center (with equipment and instruction), the Hermitage Dining Room, Smokey’s Palace Cafeteria, the Rafters Grill, the Catering Office, the Central Ticket Office, a post office, the Ombudsman’s Office, the Student Government Office, and recreational facilities such as bowling alleys, billiard tables, and a TV viewing room.

There is a wide variety of meeting rooms, from small dining rooms to ballroom facilities for large conferences. The Catering Service (Room 126) can cater meals for large and small groups.

The University Book and Supply Store (first floor of the Carolyn P. Brown Memorial University Center) provides a full range of supplies and materials, including required and recommended textbooks, a comprehensive range of office supplies, and general materials, such as trade books, paperbacks, and records of all types. Discounts for faculty members are offered on all books and supplies except textbooks. The Book Store also develops film, cashes checks, and makes change, sells a variety of packaged foods, sells calculators, cameras, and UT souvenirs.

Like the Library, the Book Store is an indispensable resource for the University's intellectual climate. It is often the first real book store our students have seen. Faculty members are asked to contribute to the Book Store's services by providing textbook orders in reasonable time for getting the books from publishers and onto the shelves. Suggestions from the faculty about the general selection of books are also encouraged.

Flash, a student-run telephone answering service, provides information about University services, activities, policies, and regulations. The telephone number is 5160.

The Division of International Education (205 Alumni Hall) provides comprehensive information about foreign study and about travel and fellowships, scholarships and lectureships at foreign universities. The Division aims to help the faculty plan study-abroad tours and other important international educational opportunities.

The UTK Office of Public Relations (460 Communications and Extension Building) assists faculty and staff through several units—News Services, Media Relations, Publications, and Special Programs.

1. UTK News Services is responsible for identifying, writing, editing, and disseminating information to the news media. Subjects for releases range from announcements of conferences and guest speakers to substantial articles on research findings.

A concerted effort is made to publicize innovative programs which promise to improve the quality of life, which can be understood by a mass audience, and which have a reasonable chance of being used by newspapers and by radio and television news.

2. Media Relations. The Public Relations Office maintains a regular channel for contacts between the University community and the news media. Daily calls from newspaper, radio, and television reporters demand prompt and accurate responses. There are also times when it is necessary for the University to communicate with the media on an urgent basis. The Public Relations Office is equipped to work with faculty in handling such situations effectively.

Faculty members are encouraged to contact the News Services staff when they feel that an activity or event needs publicity. The initial contact should be made at least two weeks in advance, to provide time for gathering the facts, drafting a release, and determining media distribution. Stories on complex research and service projects and those stories initiated by News Services are checked for accuracy with sources prior to release.

Announcements or stories are not sent out if the information has already been submitted to or appeared in a newspaper or on a news broadcast. Although faculty and staff may contact the media directly, working with News Services offers an organized system for responding to media questions and far more extensive media coverage. Although coverage can never be guaranteed, News Services releases have enjoyed consistently wide use.

3. Publications. The Public Relations Office edits and distributes a number of internal publications: the bi-weekly Campus NEWSletter; This Week on Campus, a weekly calendar of events at UTK; and Horizons, a feature publication distributed quarterly to members of the campus community and UTK graduates.

While the public relations staff can provide general information on printing and publication design, more specific advice and assistance is available from the Publications Service Bureau and Graphic Arts Service.
4. **Special Services.** The Public Relations Office provides campus guides and maps, facts folders, and other information to faculty members hosting scientific meetings, conferences, or out-of-town guests. Assistance is also offered in drafting news releases for professional meetings and conferences in which UTK faculty participate.

Photographs of faculty members requested for publication by technical or professional journals are provided at no cost. Biographical information is kept on file on faculty and administrative-professional staff, as well as photographs which may be used to respond to media requests.

The Public Relations Office also works closely with the Chancellor's Office and the Offices of Development and Alumni Affairs in coordinating external relations projects, preparing special reports, and planning special events.
FACULTY/STUDENT RELATIONS

The student handbook, Hilltopics, represents the University's considered deliberations on such matters as faculty/student relations, student conduct, and related considerations that focus the shared integrity of an academic ethos. Faculty performance in the professional role of teacher, researcher or advisor is an important influence on the academic and community ethos of the University. (See also Chapter VII on Research.)

FACULTY RESPONSIBILITIES IN TEACHING AND ADVISING

A good university is determined in large measure by the quality of its teachers. The styles of good teaching vary almost as much as the many disciplines in a large complex university. The size and academic level of the class, the personality of the teacher, the goals of the students, the kind of subject matter under investigation, the expectations of a profession or of the public—all affect the definition of what constitutes good teaching. The University acknowledges and supports this variety. It supports as well the seriousness of the University faculty's commitment to good teaching while it also recognizes the student's legitimate expectations in this important aspect of the University's mission.

Good advising is another important aspect of the faculty role. Indeed, good teaching, scholarly research and academic advising are mutually supporting aspects of faculty excellence. The serious university student is learning how to learn and also how to relate the several parts of the college experience (the classes, lectures, readings, discussions, labs, and extra-classroom endeavors) to some emerging sense of a whole. Good advising is a crucial, invaluable aspect of this search for unity and integrity in the many parts. To be good academic advisors, faculty must be knowledgeable about the curriculum and the students. Every student is required to see his/her advisor at least once a year to discuss the many choices and goals that need to be considered. Every student should know some faculty member well enough to ask for an informed, personal letter of reference or recommendation when time comes for graduation. The faculty member has, in turn, much to learn from the advisee and from the careful inspection of curriculum that advising requires. A good advisor is better informed about the issues that face the faculty when it votes on curriculum and on admission and graduation requirements.

Hilltopics states the University's position on students' rights related to their records under relevant state and Federal laws. The Vice Chancellor for Academic Affairs is custodian of all student records maintained by colleges, schools, and academic departments. The Vice Chancellor for Graduate Studies and Research is responsible for all student records maintained by the graduate school. All other student records are in the custody of the Vice Chancellor for Student Affairs.

Hilltopics provides detailed information on the administrative procedure to be followed by a faculty member in dealing with student academic dishonesty. A written notification, countersigned by the department head, must go to any student assigned a penalty grade. Instructors are advised to consult with the department head before they assign a penalty grade, or to have a standing agreement with the department head on the procedures for assigning a penalty grade.

The following quotations from Hilltopics cover important aspects of the University's understanding of its expectations for Student/Faculty Relationship in the Classroom and its general philosophy governing Student Rights and Responsibilities. Attention is also called to the Guidelines for Faculty and Students printed as Appendix 2 to this Handbook, and to the information contained in Appendix 3, which deals with services to the handicapped and with assistance to international students.

FACULTY/STUDENT RELATIONSHIPS IN THE CLASSROOM

1. Freedom of Expression. Free and pertinent discussion is welcome at the University. Students should feel free to take reasoned exception to the data or views offered in any course of study and to reserve judgment about matters of opinion. They are responsible, however, for learning the content of any course of study for which they are enrolled.

2. Academic Evaluation. Students may expect their performance to be evaluated solely on an academic basis and not on opinions or conduct in matters unrelated to academic standards. Students are responsible for each course in which they are enrolled. A student alleging unfair evaluation should appeal first to the teacher, to the department head or to his/her college dean, and if necessary, to the Ombudsman and Dean of Student Conduct. Teachers are expected to make honest, professional judgments on the academic performance of students and to make clear to them the basis for academic evaluation used in their classes.

3. Academic Integrity. The University expects that all academic work will provide an honest reflection of the
knowledge and abilities of both students and faculty. Cheating, plagiarism, fabrication of data, providing unauthorized help and other acts of academic dishonesty are abhorrent to the purposes for which the University exists.

STUDENT RIGHTS AND RESPONSIBILITIES

The University of Tennessee shares with other academic institutions the responsibility for the transmission of knowledge, the pursuit of truth, the development of students, and the general well-being of society. The programs of study and activities from which the student may choose are designed to develop individuals who are accurately informed, disciplined in thought, and literate in expression. Through university experiences, students are provided an opportunity to establish a basis for mature private life, intelligent participation in society, and a successful career. In establishing the objectives, the University needs the understanding, support, and thoughtful assistance of each faculty member, administrator, and student.

Free inquiry and free expression are indispensable to the attainment of these goals. As members of the academic community, students are encouraged to develop the capacity for critical judgment and to engage in a sustained and independent search for truth. The freedom to learn, in particular, is in a large measure dependent upon appropriate opportunities and conditions in the classroom, on the campus, and in the larger community. Students should exercise this freedom with responsibility.

The responsibility to secure and to respect general conditions conducive to the freedom to learn is shared by all members of the academic community. This University has a duty to develop policies and procedures which provide a safeguard to this freedom. Such policies and procedures are developed at this institution with the participation of all members of the academic community.

By registering in the University, the student neither loses the rights nor escapes the duties of a citizen. Each student should conduct his/her personal life in the context of mutual regard for the rights and privileges of others. Therefore, it is expected that students will demonstrate respect for the law and for the necessity of orderly conduct in the affairs of the community.

Students are responsible for being fully acquainted with the University catalog, handbook, and other regulations relating to students and for complying with them in the interest of an orderly and productive community. Failure or refusal to comply with the rules and policies established by the University may subject the offender to disciplinary action up to and including suspension from the University.

DIRECTING GRADUATE PROGRAMS FOR RELATIVES

A teacher may not be involved in the directing of a graduate degree of a spouse or relative (see also Chapter III, page 5, on supervision of relatives by persons in positions of authority).
Although the University of Tennessee enjoys major financial support from the State of Tennessee, much of its support comes from private donors who want to see the programs of the University prosper in special ways. Private giving is an important resource that makes possible a great variety of activities for which state appropriations are not available or sufficient. Gifts to the University make an enormous difference in the quality of academic programs and provide endowed professorships, scholarships and fellowships, library acquisitions, new programs and certain campus buildings. (In recent years, UTK has received approximately $3 million annually in private support from individuals, foundations and corporations.) A majority of these gifts are modest in size, but the sum constitutes a kind of voluntary support that creates a solid bond between the University and its alumni and friends. The faculty can play an important role in helping create and sustain this bond. For example, faculty members are encouraged to send appropriate acknowledgment letters to donors (in addition to letters from University officers), or annually to report to donors the progress of a certain project which the donor may have funded. Faculty often are called upon to speak to local civic organizations or groups, or to serve on programs for groups such as the Development Council or Chancellor’s Associates.

The primary responsibility for the supervision and coordination of all private fund raising and other development activities at UTK lies with the Director of Development. Coordination and planning ensure that prospective donors do not receive unwarranted or inappropriate solicitations.

The Campus Development Office is not responsible for proposals to state or federal agencies, nor for contracts between the University and private corporations. (For such contracts, see Chapter VII, "Research.") However, the Campus Development Office and the Office of Graduate Studies and Research cooperate on projects which might be funded through public agencies but which also have an appeal to potential private donors. As a rule, the Campus Development Office is responsible for solicitations of individuals, corporations, private foundations, and deferred giving prospects.

**REQUESTS FOR FUND-RAISING ASSISTANCE**

One of the major responsibilities of the Development staff is to provide assistance, consultation, and advice on new or proposed fund-raising projects. Questions about fund-raising methods and practices should be directed to the Development Office (414 Student Services Building- phone 974-5045).

Requests for assistance or ideas for fund-raising should be discussed informally with the Campus Development Office at an early stage. However, before any solicitation or submission of a formal proposal, the project should be discussed with, and approved by, the appropriate Department Head, Dean, and Vice Chancellor. The Development staff brings such requests ultimately to the attention of the Chancellor and appropriate staff for review and approval before solicitation begins.

**GIFTS TO THE UNIVERSITY**

Recording and acknowledging gifts to the University is another responsibility of the Campus Development Office. All private gifts received by departments, colleges, or other units, as well as copies of correspondence, memoranda, and related materials should be forwarded immediately to this office, which will deposit such gifts in the appropriate account, register the gifts in a computerized campus record, and promptly acknowledge receipt of the gift. The Development Office sends reports to Deans on a weekly basis, detailing gifts restricted by a donor for use in the respective college or unit. It is the responsibility of the Deans in turn to notify appropriate Department Heads or faculty members of such gifts so that additional letters of acknowledgment may be sent.

**MEMORIAL GIFTS**

From time to time friends of deceased faculty and staff seek to honor them through memorial gifts. Some faculty or staff members are also honored at retirement by friends through special funds. Requests to initiate such funds should be directed to the Campus Development Office, which can assist in planning the memorial or honorary fund and coordinate an effective volunteer solicitation.
DEFERRED GIFTS AND ESTATE PLANNING

Many individuals have indicated their desire to aid the University of Tennessee by including the institution in their wills or estate plans. Sound estate planning can enable an individual to maximize gifts to favorite charities while properly caring for members of the family and minimizing the impact of federal estate taxes and state inheritance taxes.

From time to time, drawing upon outstanding volunteer speakers from the legal, banking and insurance communities, UTK has sponsored "estate planning seminars" to keep the public better informed about the law and about the need for sound estate planning. The University Development Office has a full-time staff attorney specializing in estate planning and deferred giving. Persons interested in examining the possibility of a deferred gift to the University should be directed to the Campus Development Office.

ENDOWMENTS AND EXPENDABLE FUNDS

An endowment account is one which earns annual interest through the University's Investment pool. The interest earned is placed in an expendable account for use toward the purpose intended by donors. The usual minimal expectation for an endowment fund is $10,000, pledged over a period no longer than ten years. Solicitation efforts not expected to reach $10,000 will be directed toward creation of an expendable account for current use for the purposes intended by donors.

When an endowment fund is established, the Development Office is responsible for seeing that a Memorandum of Agreement is signed by the appropriate donors and University officials. The Memorandum of Agreement is simply a guide to ensure that the income from endowment funds will always be used in accordance with the donors' wishes. Copies of the Memorandum of Agreement are filed in the Offices of the University's Legal Counsel and Treasurer. Members of the faculty and staff are called upon to work with the Development Office and the donors in preparing these documents, since funds usually go to assist a particular project, department, area, or college. Expendable funds do not require such a document.

GIFT CLUBS

The University of Tennessee has three gift clubs: (1) the Century Club (with approximately 6,000 members) which recognizes persons who contribute $100-$499 annually; (2) the University 500 Club (with 375 members), which recognizes individuals who contribute $500-$999 annually, and (3) the President’s Club (with over 800 members) which recognizes those who have contributed or committed a minimum of $10,000 outright (or $10,000 per year over a 10-year period).

Faculty and staff may designate their gifts for a specific project or college or make unrestricted gifts to UTK. Gifts may be forwarded directly to the Development Office, or made through the payroll deduction plan.

THE "TENNESSEE TOMORROW" CAPITAL CAMPAIGN

In the fall of 1977, the University of Tennessee launched a University-wide Capital Gifts Campaign, designed to secure $35 million dollars over a three-year period. The Campaign is known as "Tennessee Tomorrow." UTK has identified five priorities for the Campaign: (1) faculty/staff development, (2) professorship supplements, (3) library acquisitions, (4) scholarship and fellowship assistance, and (5) the performing arts. Most of the funds being sought will serve the entire campus and benefit all colleges. Naturally, the Campaign does not address all the private fund-raising needs of the campus. However, the Campaign was launched after an intensive planning effort which spanned 2½ years, and involved Deans, Department Heads, and faculty from all colleges.

Faculty and staff are encouraged to share their ideas concerning projects and donors. Faculty members who may have worked with an individual, a corporation, or a foundation in the past could be quite helpful in planning the University's approach to such persons or groups. All information received regarding potential donors is held in confidence.

THE DEVELOPMENT COUNCIL AND CHANCELLOR’S ASSOCIATES

The Development Council is a university-wide group of 35 outstanding men and women from throughout the state and the nation. The Council was formed in 1955 and has assisted the University in raising over $80 million.

Each of the main campuses also has its own support group composed of outstanding business, civic, and professional leaders. On the Knoxville campus, this group is known as the Chancellor’s Associates. The chairpersons of the UTK Chancellor’s Associates automatically serves as a member of the University-wide Development Council. The Chancellor’s Associates meet with the Chancellor and his/her staff to discuss issues of importance to campus and community. Some of the Associates serve individually in fund-raising. Activities of the Associates are coordinated through the Campus Development Office, which works with the central administration, Deans, Department Heads, and faculty to make the Associates thoroughly familiar with all areas of the campus, its accomplishments and problems.

DEVELOPMENT ACTIVITIES IN INDIVIDUAL UNITS

A natural outgrowth of successful development in some colleges has been the formation of Boards of Visitors or Advisors to the College. Here the college brings together individuals who have a specific interest in its work and mission. The College of Business Administration, the College of Engineering and the College of Law have advisory boards. These colleges work closely with the Development Office in coordinating the work of their respective Boards of Advisors.
CAMPUS PARKING, BUILDINGS AND KEYS

Parking. The Safety and Security Office (1115 UT Drive) assigns parking spaces or areas to the faculty upon recommendation of Deans and Department Heads under regulations defined by the Transportation and Parking Authority. All faculty who bring vehicles on campus are required to obtain a free vehicle registration sticker. A parking permit will be assigned upon payment of the appropriate fee. The amount of the fee depends upon the parking accommodation, ranging from open faculty parking lots without reserved spaces to enclosed garages, and a limited number of reserved twenty-four-hour spaces. Fees are payable annually in advance or by monthly payroll deductions. Parking citations for violation of rules may be appealed (either in writing or orally) within ten operating days after issuance to an Appeals Board appointed by the Parking Authority.

The UTK Traffic and Parking Regulations are published annually and are distributed with parking permits. In particular, it is noted in that publication that illegally parked vehicles may be impounded or moved, large fines are assessed for parking in fire lanes, and traffic and parking limitations may be imposed on special occasions such as athletic events.

Handicapped persons and persons who are temporarily disabled may obtain special permits allowing them to park in spaces which are particularly convenient to their areas of work. Those persons having parking permits for the main campus may park in a designated lot (presently Lot 68) on the Agricultural campus, and those having permits for the Agricultural campus may park in a designated lot (presently Lot 9) on the main campus when intracampus travel is necessary. A special permit is available for faculty who regularly need to park in several locations on campus. Visitor parking permits are available at the Security Building or at the Information Center at the entrance to Circle Park.

Since the emergence of energy shortages in the early 1970’s the University has encouraged car pooling and use of public transportation among its faculty and staff. Special permits are available for car pooling. Maps and staff lists are available for those who wish to arrange shared transportation. The City of Knoxville coordinates a van pool for ride sharing (637-7433).

Building and Keys. Keys for outer and inside doors are issued by the Physical Plant office upon approval and recommendation of the Department Head and Dean. Keys must be returned to the Safety and Security office (1115 UT Drive) at the termination of employment or at the beginning of extended absence from campus. A faculty member receiving an assigned key shall not permit the duplication of the assigned key, shall relock locked buildings when he/she enters or leaves the building, and shall be responsible for the conduct of all persons he/she admits to a locked building.
Note: These appendices consist of administrative policies approved by the Chancellor of The University of Tennessee, Knoxville. They are not approved by the Board of Trustees, are not legally binding upon The University of Tennessee, and are superseded by any policies of the Board of Trustees with which they may conflict. These policies are subject to change without notice, and a copy of the most recent versions of each appendix may be obtained from the following offices:

Appendix 1 ...... Vice Chancellor for Planning and Administration
Appendix 2 ...... Vice Chancellor for Academic Affairs
Appendix 3 ...... Dean of Admissions and Records
Appendix 4 ...... Vice Chancellor for Planning and Administration

APPENDIX 1
UTK EQUAL EMPLOYMENT OPPORTUNITY POLICY


Objective: To set, define, and communicate broadly the policy of The University of Tennessee, Knoxville concerning fair employment practices and equal employment opportunity for all UTK employees and applicants for UTK employment.

1. The University of Tennessee, Knoxville offers equal employment opportunity to all its employees and to all applicants for UTK employment without regard to race, religion, sex, age, national origin, handicap, or veteran status. A copy of such notification shall be maintained on file by the head of the unit contacting the source of referral, in the case of faculty and staff-exempt positions. The UTK Personnel Office will notify sources of referral for staff non-exempt positions and will maintain on file copies of the notifications.

4. Employment decisions shall be based solely upon an individual's qualifications for the position for which he/she is being considered.

5. Promotions shall be made in accord with the principles of equal employment opportunity. Only valid, job-related requirements for advancement will be established.

6. No employee shall be excluded from participation in any University-sponsored activity or denied the benefits of any University program on the grounds of race, color, religion, sex, age, national origin, handicap, or veteran status. The University is prepared to make reasonable accommodations to allow participation by the handicapped in its programs, activities, and benefits.

7. Evaluation of supervisors' and managers' work performance will include a review of their equal employment efforts and results, as well as other criteria.

8. Reports required by federal, state, and local agencies with regard to equal employment opportunity and affirmative action shall be submitted to the Office of the Vice Chancellor for Planning and Administration, which office will also maintain such reports on file.

UTK deans, directors, managers, and supervisors shall be apprised of this policy in writing and shall be reminded of its provisions at least once a year. A record shall be made of
such notices by the Affirmative Action Coordinator. Employee Handbooks, the Faculty Handbook, and Affirmative Action Plan, and other appropriate documents shall contain this policy. This policy, consisting of the eight provisions above, shall be posted in conspicuous places throughout the campus and shall be on file in the office of all budgetary unit heads.

In support of the intent of this policy, UTK has issued an Affirmative Action Plan. It shall be the responsibility of the Office of the Vice Chancellor for Planning and Administration to monitor the effectiveness of the implementation of this policy by monitoring the provisions of the Affirmative Action Plan.

APPENDIX 2

UTK TEACHING/LEARNING GUIDELINES

GUIDELINES FOR UTK FACULTY MEMBERS

(All Teaching Staff)

Introduction. The brief statement which follows is intended to provide some guidelines for the faculty member (all members of the university's academic teaching staff) with regard to the teaching/learning process. We hope that the guidelines will be especially useful to members of the faculty who have just entered the profession, though more experienced teachers may also be glad to reflect on these guidelines.

The guidelines are offered in the form of advice and counsel; they are not so comprehensive as to cover every possible eventuality in the teaching/learning experience; there would be other equally good ways of handling some of the circumstances mentioned here. These guidelines are mainly a reminder of some of the principal aspects of the teaching/learning process which should be observed by the university teacher.

Course Organization. It is the responsibility of the faculty member to organize class material as efficiently and effectively as possible at the beginning of each term of instruction. Course objectives should be made clear at the first session. At this time the students should be informed if the course is not adequately described in the General Catalog, the Graduate Catalog, or publications of the various colleges and departments.

At an early class meeting, the teacher should announce and discuss with the members of the class such matters as required readings; the approximate number of tests; the basis for the final grade with regard to the value to be placed on class recitation, major tests, minor tests, research papers, etc. Once such basic principles for the conduct of the course have been announced, the instructor should later make changes only after careful consideration and consultation with the students. The value assigned to tests and research papers should not be changed, unless the faculty member finds that his or her earlier expectations were unreasonable and that, for example, the number of tests should be reduced because of the exigencies of time or a shortage of library resources. Faculty members should take great care to insure that book orders are turned in on time so that sufficient copies of text materials can be available at the beginning of the term. Teachers should distinguish carefully between books and material required, and those recommended. The faculty member should also be concerned that the university libraries are appropriately notified about reserve materials.

At the same time faculty members should take great care in allowing additional students to enroll in a course after the section is filled, making certain that there is sufficient classroom space, enough textbooks available, and sufficient time to carry out additional burdens, such as grading of course work created by an oversize enrollment and fulfilling other commitments in the areas of research, publication, and university service.

Conducting the Course. The faculty member should set an example for students in being faithful in attendance and punctual in starting and ending classes. Students should be informed of all planned absences as early as possible. When a faculty member must be away from class to attend a conference or deal with other professional matters, he or she should be willing to compensate for the absences by arranging substitute class sessions, in consultation with the class. In an emergency, the faculty member should have the class notified through the agency of the departmental office that he or she is compelled to be absent.

In presenting course content, the faculty member should endeavor at all times to adhere to his or her subject; the classroom should not be used as a theatre for expression of personal views which are not germane to the course. The faculty member should take care that the tests and all other devices for student evaluation are appropriate instruments for measuring course content. Ideally the test will reflect the goals of the course and should serve the function of measuring the students' course progress as clearly as possible. Moreover, the faculty member should return all tests as soon as possible and discuss them with the students so that the test remains an educational instrument; thus students can learn from testing as well as from other class activities. An instructor should be willing to discuss with a student his or her academic standing at any time during the quarter.

Atmosphere for Teaching and Learning. It is very important that the faculty member create from the beginning, and preserve throughout the course, an atmosphere conducive to learning. Both teacher and student should feel that they have come together in the common cause of the pursuit of learning. In such a pursuit, the faculty member must be continually sensitive to students' needs, desires, and expectations and should exercise the kinds of judgments which demonstrate this kind of sensitivity. This does not mean that the faculty member is subject to the wills and whims of students enrolled in his or her course, but with such faculty awareness, unreasonable confrontations may be avoided. It is in this atmosphere of friendly and serious scholarship that the cause of learning can be most appropriately advanced.
All faculty members, especially those who are official advisors, are urged to observe each quarter regularly scheduled office hours for consultation with students.

Teaching Expertise. The faculty member should strive not only to maintain minimum competency but to surpass this level by constant inquiry into contemporary trends, prospects and research. Faculty members who supervise graduate teaching assistants should take whatever measures may be necessary to insure an appropriate level of competency in the classroom. Departments should not neglect to give students of all educational levels the privilege of instruction by teachers of all professional ranks.

GUIDELINES FOR UTK STUDENTS

Introduction. The brief statement which follows is intended to provide some guidelines for students with regard to the teaching/learning process. We hope that the guidelines will be especially useful to new students, whether freshman or transfer student, though all students will want to consider these guidelines carefully.

The guidelines are offered in the form of advice and counsel; they are not so comprehensive as to cover every eventuality in the teaching/learning experience. These guidelines are mainly a reminder of some of the principal aspects of the teaching/learning process which should be observed by the university student.

Adequate Preparation. With regard to learning in his or her respective courses, the student has the responsibility to seek information (which should be readily available from the instructor) as to necessary preparation for participation in classroom activity. The instructor should provide specific information about course objectives, nature of testing, the required class readings, required class presentations, research papers, etc. In order that the instruction which takes place in class can be effectively received, the student should accept responsibility for being adequately prepared, before coming to class. The integration and digestion of the material presented in the course is the student's responsibility, and in order to maximize learning, it is fundamental that the student not only be prepared, but be able and willing to interact through classroom participation, testing, themes, and other methods provided by the teacher. Basic to these activities is the need for the student to employ appropriate resources, as assigned by the instructor, such as textbooks, other supplies and outside reading materials.

Academic Integrity. Study, preparation, and presentation should involve at all times the student's own work. The responsibility for learning is an individual matter. Academic honesty requires that all work presented be the student's own work, not only on tests, but in themes, papers, homework, and class preparation, unless it has been clearly specified that work is to be a team effort. There is a clear distinction between learning new ideas and presenting them as facts or as answers, and presenting them as one's own ideas. It is part of the learning process to incorporate the thoughts or ideas of others into one's own mind and presentations with the purpose of learning and enlarging on personal boundaries of knowledge.

Observation of Time Limits. Responsible staff, in the teaching/learning situation, supply a reasonable schedule of activities. It is the responsibility of the student to use guidelines and schedules provided by the instructor in an efficient manner. Papers and other outside assignments should be presented on time. When a student is necessarily absent from class, including laboratory, it is the responsibility of the student to secure from another member of the class, or by arrangement with a professor, material that he or she may have missed. When a student is absent from a test, he or she should contact the instructor immediately to see if a substitution for that test can be arranged.

Class Attendance. Class attendance throughout the course is essential. It is especially important to set the right basis for a course by attendance at the first meetings. Students should be present for the entire class period. Certain classes are conducted in a manner which requires work outside of class as an alternate to class attendance. If, however, class attendance is required, and the quality of the course is such that the student feels that attendance is unnecessary, then it is the responsibility of the student to inform the appropriate person (first the instructor concerned, then the department head) about this matter.

Obtaining Advisement. In a more general setting, the student is responsible for seeking appropriate advice as to courses of study. A university degree is more than a certain number of credits, more than filling a certain number of requirements. At a major university, with a wide variety of courses, there are many methods of satisfying the requirements for a degree. A student should seek sufficient information not only to select an appropriate program of study, but also to determine the scheduling of required courses. The advice of other students, of members of the major department, of advising centers in the college, and when and where possible active participants in the field who are not connected with the university, should be sought and incorporated into planning. Upon completion of the course of study, placement and career information is available from professors, departments, and the placement office. A student should seek this information.

Appropriate Selection of Courses. The courses taken should be those that build on a student's background. Students are encouraged to make maximum use of diagnostic tests available through departments, and where appropriate, proficiency exams to secure credit for information the students already have. Students should elect to take the right course at the right time; for example, to learn writing skills in freshman English as soon as possible so that they may appropriately use them in other courses; to take freshman and sophomore lower division work early in their career to provide a suitable foundation for other courses, etc.
Observation of University Deadlines. It is the student's responsibility to be aware of and follow the enrollment and registration procedures provided by the University. A student is well advised to take advantage of preregistration. If it becomes necessary to drop a course, a student should seek advice, inform the instructor, and then drop the course before the drop deadline. It is the student's responsibility to file forms for graduation based on information on the senior standing sheet, and to observe other university and college deadlines.

Learning is more than classroom activity. Thoughtful participation in extracurricular activities of an academic nature is a part of a university education. Learning requires active participation on the part of the student, and it is assumed that a student is seeking additional knowledge and a broader understanding of the subject at hand. Essential to the learning process is the admission on the part of the student of ignorance concerning material to be learned, and an openness to ask questions and to seek information. A healthy learning situation depends on the student's being able to express in the classroom questions that he or she might have, not only about specific information, but about interrelation of information. The creation of a classroom atmosphere in which the student feels comfortable to ask pertinent and searching questions places a heavy responsibility on the instructor. When such an atmosphere is present, then it is essential to the spirit of learning that a student and the instructor both make full use of the dialogue. Learning can only take place when the instructor is willing to accept the responsibility to teach and the student is willing to accept the responsibilities involved in learning.

APPENDIX 3
SERVICES TO THE HANDICAPPED AND INTERNATIONAL STUDENTS

Services to the Handicapped. Services relating to academic programs for students with physical disabilities, whether permanent or temporary, are coordinated by the Office of the Dean of Admissions and Records. In conjunction with the Physical Plant Office, the UTK Bookstore, the Student Activities Office, and the academic departments, efforts are made to ensure that attendance at UTK is as convenient as possible for students with physical disabilities.

These services include assistance during registration, preregistration, collection of class schedules, payment of fees, drop and add, special parking permits, elevator keys, tickets for special events, and other efforts to relieve special problems. The Physical Plant Office coordinates efforts to eliminate physical barriers, while the Office of the Dean of Admissions and Records schedules special class sections in order to respond to particular needs.

International Students. The International Student Office handles matters pertaining to the enrollment of non-immigrant alien students. It maintains complete files for these students and represents the University in dealing with the U.S. Immigration and Naturalization Service. Staff members act as ex officio advisors on the personal and academic problems of foreign students.

Of special interest to faculty teaching foreign students are two booklets available in this office: The Foreign Student in Your Classroom: A Critical Opportunity and The Objective-Type Test: A Brief Manual of Instruction and Practical Suggestions for the Foreign Student.

APPENDIX 4
NON-SEXIST LANGUAGE GUIDELINES

The following suggestions were prepared by the UTK Commission for Women as part of a continuing effort to make the University community aware of the many subtle ways in which traditional language can enforce a subtle sexism. The University does not and cannot impose uniformity of thought or of expression upon its faculty and students. At the same time, it is an abiding and even venerable mission of the University to challenge dull conventions and stereotypes both in language and in thought wherever they appear. Unexamined speech, as Socrates might have said, is not worth uttering.

Sexism refers to discrimination on the basis of gender or sex. Sexist language reflects and creates discrimination. Since language is the basis for thought, sexist language is not only an indicator of but also a contributor to sexist attitudes and behavior. Thus, removal of sexual discrimination in language is necessary to eliminate sexism.

In all University settings, members of the University community should:

1. Use gender equivalent construction. Equivalent or parallel construction should be used for males and females. Thus, if males are referred to as "men," females should be referred to as "women," not as "girls" or "ladies".

The following parallel terms are taken from the report on Sexism in Language of the Tennessee Commission on the Status of Women, 1975.

- female . . . . male
- woman . . . . man
- lady . . . . gentleman
- gal . . . . fella
- girl . . . . boy

2. Use alternatives to the masculine singular pronoun for generic singular. The masculine singular pronoun traditionally has been used as the generic singular. Such usage fails to acknowledge the participation of women in human activity unless they are specifically identified. Alternatives to the use of "he," "him," and "his" for the generic singular are he/she, she/he, her/him, him/her, hers/his, his/hers or one's. Some individuals may prefer to alternate the use of the male and female singular pronoun to indicate generic singular. While some alternatives may seem awkward when they are first used, they become comfortable with usage and

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will, as any other language construction, become second nature in time. It is this natural incorporation of women into language on an equal basis with men that is the purpose of non-sexist language usage.

3. Use person-oriented rather than male-oriented words. Words which clearly refer to both sexes should be used in preference to words and titles which omit one sex. The terms, human(s), humankind, people, persons, individuals, humanity, or men/women should be used rather than the terms man or mankind. For example, a course titled “Man and Civilization” could be retitled “Humanity and Civilization;” references to “mankind’s development” could read “human development,” and so forth. The National Council of Teachers of English recommends the following alternatives:

For: 
mankind
man’s achievements
the best man for the job
man-made
the common man

Use: 
humanity, human beings, people
human achievements
the best person for the job; the best man or woman for the job
synthetic, manufactured, crafted, machine-made
the average person, ordinary people

4. Use person-oriented job and occupational titles. Many titles were developed by attaching “man” as a suffix to the job or occupation, e.g. chairman, mailman, policeman and the like. Alternatives to such titles should be utilized, such as:

For: 
chairman
mailman
policeman

Use: 
chairperson, chair, head, coordinator, presiding officer, president
mail carrier
police officer

5. Avoid sex-role stereotyping: provide parallel treatment of women and men.

(a) Women (as well as men) should be described on the basis of relevant characteristics rather than on the basis of gender. Descriptions of competent women or women in professional roles frequently play down their areas of competence and focus inappropriately on their attractiveness, homemaking ability, interest in men and children, and so forth. Thus, while a male may be described primarily in terms of his research interests and academic achievements, a female student may be described primarily in terms of her interest in dating: similarly, while male athletes are generally described in terms of their most recent athletic feats, interviews with women athletes frequently comment on their appearance, social life, or marital aspirations.

(b) Jobs, tasks, and behaviors should not be characterized in a stereotypical fashion on the basis of sex. Avoid identifying all doctors, lawyers, pilots, researchers, and the like as males while identifying all secretaries, nurses, flight attendants, and cooks as women. Recognize that men as well as women “discuss” (rather than men discuss and women gossip); that girls as well as boys get dirty; that men as well as women clean house and nurture children; that both husbands and wives nag, balance checkbooks, mow lawns, deodorize garbage pails, and plug sinks; that both men and women philosophize, jog, conduct symphonies, type, and so forth.

6. Exhibit non-patronizing, non-condescending ways of describing and addressing women, particularly women in traditional occupations, e.g. secretaries, clerks, nurses. Both men and women should be sensitized to the negative effects which result from usage of terms such as “girl,” “gal,” “coed,” “girl Friday,” the “girls in the office,” and the like.

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